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ABSTRACT

This case study examined the process of change employed by a rural Kentucky elementary school identified as having successfully implemented the state's primary program. The main purpose of the study was to analyze how the school implemented the primary program based on characteristics of effective change. The case study was based on a total of 23 formal interviews, 20 document reviews, and several observations in primary classrooms and attendance of meetings related to primary program implementation. The study presented three major conclusions. First, all ten change characteristics had an impact on the implementation process in the successful primary school; however, some characteristics had more impact than others, thus the findings came under three levels. Level one change characteristics--collaborative leadership--played the key role in the implementation of the primary program. Level two characteristics--training, risk-taking, teamwork and collaboration, communication and information, and evaluation and revision--had a secondary influence on program implementation. Level three characteristics included vision, support systems, planning time, and recognition and resolution of barriers. The second conclusion presented by the findings was that one factor which contributed to successful primary program implementation was the school's principal, who employed effective change characteristics during the implementation process. The third conclusion was that the school was change-oriented even before the 1990 primary program mandate, and continued to be so during implementation. Contains 65 references. (Author/HTH)

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DISSERTATION

THE USE OF EFFECTIVE CHANGE CHARACTERISTICS IN IMPLEMENTING KENTUCKY'S PRIMARY PROGRAM: A CASE STUDY

Judith Paige Carney

The Graduate School

University of Kentucky

1994

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ABSTRACT OF DISSERTATION

THE USE OF EFFECTIVE CHANGE CHARACTERISTICS IN IMPLEMENTING KENTUCKY'S PRIMARY PROGRAM: A CASE STUDY

This case study examined the process of change employed by a rural Kentucky elementary school identified as successfully implementing the primary program. The main purpose of this case study was to analyze how the school implemented the primary program based on change characteristics of effective change: leadership, vision, training, support systems, planning time, communication and information, teamwork and collaboration, risk-taking, addressing and solving barriers, and evaluation and revision.

Surveys of educational leaders were used to select the successful primary school. Criteria for selection of a successful primary program were based on the school implementing all seven critical attributes of Kentucky's mandated primary program. The case study was based on a total of 23 formal interviews, 20 document reviews, and several observations in primary classrooms and attendance of meetings related to primary program implementation.

There are three major conclusions from the study. First, all of the ten change characteristics had an impact on the implementation process in the successful primary school; however, there were a few of the change characteristics that had more of an impact than others. Therefore, the findings are described by three levels.

Level one change characteristic, collaborative leadership, played the key role in the implementation of the primary program. Level two change characteristics; training, risk-taking, teamwork and collaboration, communication and information, and evaluation and revision had a secondary influence on primary program implementation. The third level change characteristics had less of an influence on primary implementation but still played a role in moving the school toward successful implementation. Level three change characteristics include: vision, support systems, planning time, and recognizing and addressing barriers.

Second, the findings indicate that one factor which contributed to successful primary program implementation was the school's principal who employed effective change characteristics during the implementation process. Third, the school was change-oriented before the 1990 primary program mandate and continues to be change-oriented.

(Judith Paige Carney)

(Date)

THE USE OF EFFECTIVE CHANGE CHARACTERISTICS IN IMPLEMENTING KENTUCKY'S PRIMARY PROGRAM: A CASE STUDY

By

Judith Paige Carney

(Director of Dissertation)

(Director of Graduate Studies)

(Date)

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THE USE OF EFFECTIVE CHANGE CHARACTERISTICS IN IMPLEMENTING KENTUCKY'S PRIMARY PROGRAM: A CASE STUDY

DISSERTATION

A dissertation submitted in partial fulfillment of the requirements for the degree of Doctor of Education at the University of Kentucky

By

Judith Paige Carney

Lexington, Kentucky

Director: Dr. Betty Steffy, Associate Professor of Administration and

Supervision

Lexington, Kentucky

1994

DEDICATION

This dissertation is lovingly dedicated to my parents, Judy and Fred Carney, who have given freely of their love and support throughout my life. These two people have always encouraged, guided, and provided me with an environment in which I could grow and prosper in questing for my life-long goals.

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CHAPTER I

INTRODUCTION

Throughout the country, state legislatures, policymakers, school boards, and communities are in the process of restructuring their schools. This restructuring process is requiring major changes for school administrators, parents, students, and teachers. In the state of Kentucky, restructuring has become a dominate issue due to the 1990 passage of House Bill 940 the Kentucky Education Reform Act (KERA).

In 1985, the Kentucky case began as a school finance case due to the inequities among public school students. The Council for Better Education contended that student dropout rates were high, teacher pay was low, unemployment was high, and adult literacy was low. Therefore, in 1989 Kentucky's Supreme Court opinion Rose v. Council for Better Education declared that state's education system unconstitutional. This ligation resulted in the passage of KERA which requires changes in all areas of public school instruction, including curriculum, governance, and finance.

One major element of KERA is the mandate for the implementation of a primary program covering grades kindergarten through third (KRS § 158.030 (2), 1994). As a result of the primary program mandate, philosophies of Kentucky's elementary schools have been redefined to support what researchers have found to be developmentally appropriate practices for young children. In the past, many of Kentucky's elementary classrooms were based on the philosophy that all children should learn the same learning material at a prescribed pace and level. Conversely, the present philosophy is based on students making continuous progress at their own rate toward identified learning goals.

While students work toward these goals the learning environment stresses social interactions and the opportunity for students to make choices through investigation, exploration, and experimentation (The Wonder Years, 1990).

Background

The responsibility for determining the nature of the primary program fell to the Kentucky Department of Education (KDE), that developed a state-level primary program committee. The committee studied primary programs in other states and countries and found many common themes and patterns. From the analyses of research and observations in primary classrooms, the committee developed seven critical attributes to serve as guidelines in implementing the primary program. Kentucky's primary program's seven critical attributes are:

> Developmentally Appropriate Practices. Developmentally appropriate practices means providing curriculum and instruction that addresses the physical, social, intellectual, emotional, and aesthetic/artistic needs of young learners and permits them to progress through an integrated curriculum at their own rate and pace.
>
> Multi-Age and Multi-Ability Classrooms. Multi-age and multi-ability classrooms means the flexible grouping and regrouping of children of different ages, sex, and abilities who may be assigned to the same teacher(s) for more than one year.
>
> Continuous Progress. Continuous progress means that students will progress through the primary school program at their own rate without comparison to the rates of others or consideration of the number of years in school. Retention and

promotion within the primary school program are not compatible with continuous progress.

Authentic Assessment. Authentic assessment means assessment that occurs continually in the context of the learning environment and reflects actual learning experiences that can be documented through observation, anecdotal records, journals, logs, work samples, conferences, and other methods.

Qualitative Reporting. Qualitative reporting communicates children's progress to families through various home-school methods of communication which focus on the growth and development of the whole child.

Professional Teamwork. Professional teamwork refers to all professional staff including primary teachers, administrators, special education teachers, teacher assistants/aides, itinerant teachers, and support personnel who communicate and plan on a regular basis to meet the needs of groups as well as individual children.

Positive Parent Involvement. Parent involvement means relationships between school and home, individuals, or groups that enhance communication, promote understanding, and increase opportunities for children to experience success (The Wonder Years, 1990).

According to the philosophy of the primary program children should have the opportunity to focus on their natural impulse of wondering and exploring. Developing the idea of the "whole" child is essential to the learning process, where the child's social, emotional, physical, aesthetic, and cognitive needs are continually considered (The Wonder Years, 1990).

Changes in the philosophy of educating Kentucky children necessitate changes in curriculum, instruction, assessment, and the learning environment. Curriculum has moved from the graded structure to the ungraded structure where teachers are integrating subjects through broad-based themes and learning centers (The Wonder Years, 1990).

In the past, teachers focused on reading, writing, and mathematics as separate subjects. Presently, the vision of the primary program is for teachers to focus on concepts, skills, and processes cohesively in the context of the curriculum. The classroom structure has moved from a fixed, rigid schedule to a flexible schedule where children make decisions and choices based on their learning needs (The Wonder Years, 1990).

Instruction focuses on spiral learning where children build upon their prior knowledge and experiences at their own pace and level. Teachers perceive children as active learners rather than passive learners. Students in primary classrooms are actively engaged in the learning process. Children are given choices when learning through both teacher-directed and child-initiated activities within a variety of grouping structures; large, small, and individual.

The focus of assessment has changed from grade level expectations to continuous progression toward KERA'S Learning Goals and Academic Expectations. Three critical attributes; qualitative reporting, continuous progress, and authentic assessment connect to the overall assessment structure. Students are assessed through meaningful and authentic learning activities by open-ended responses, performance based events, and portfolio entries. When teachers assess students' products, both the process and the content are evaluated and multiple responses may be accepted (Kentucky Department of Education, State Regulations and Recommended Best Practices for Kentucky's Primary Program, 1993).

Learning in relation to the primary program focuses on how children learn and what they can do rather than what children already know. The learning environment has changed from one that is competitive with high expectations for some students, to an environment that is cooperative with high expectations for all students. Further, the learning environment encourages children to explore and be creative in an environment that is rich with resources and hands-on manipulatives. Instruction is delivered through a variety of strategies such as direct instruction and cooperative learning with respect to student's different learning styles and multiple intelligences (The Wonder Years, 1990).

Change in Kentucky's Elementary Schools

Kentucky's primary program has created significant changes for students in the primary classrooms as well as changes in the roles of teachers, principals, and parents. Teachers' roles are redefined from transmitters of information to facilitators of learning where they help children acquire new knowledge and build upon prior knowledge. Principals need to develop new leadership styles in order to assist parents and the staff to implement the changes in the classroom. Additionally, parents are encouraged to be involved in their child's educational process through continual collaboration with the teachers and active participation at home and at school.

Overall, Kentucky educators are being asked to relinquish familiar habits and practices and make changes in all areas of the school's environment and instructional program. Changes in the primary program create a great deal of optimism for some and fear for others who are involved in the implementation process. Teachers and administrators are optimistic because of the new opportunities schools can provide for their students and fearful because of the enormous amount of work and time required to implement the primary program changes.

After many years of educational restructuring, many educators believe that the key to successful change is acquiring knowledge on effective change processes. Principals need to analyze research and philosophies on effective change strategies to help them successfully implement changes within their schools. It is imperative for Kentucky principals to understand common patterns that occur during the change process so that they can effectively guide primary program changes.

Presently, many theorists and futurists are providing suggestions on how change can be successfully implemented. It is important for principals, teachers, and parents to understand the characteristics that affect the success and failure of implementing change within their schools. Principals who understand characteristics of effective change can assist their teachers in successfully implementing primary programs in the state of Kentucky.

Change Characteristics

The following ten change characteristics serve as a guide throughout this case study and are based on a synthesis of the literature on effective change characteristics (Anderson, 1993; Barclay & Boone, 1993; Belasco, 1990; Conley, 1993; Elmore, 1991; Fullan & Miles, 1992; Hall & Hord, 1987; Murhpy & Hallinger, 1993; Purnell & Hill, 1992; Sarason, 1993; Schlechty, 1991; Senge, 1990).

Leadership. The school's principal guides, assists, promotes, and facilitates the new program and provides an environment that enables implementation of a vision, supports professional development training, gives planning time, maintains support systems, communicates and informs those involved in the change process, encourages teamwork and collaboration, addresses and solves barriers, advocates risk-taking, and designs a revision and evaluation structure. The principal provides opportunities for the staff to become leaders during the implementation process.

Vision. The school's staff has the foresight, ideas, and/or perception of the new program being implemented in the school. This vision serves as a guide to the school during the implementation process.

Training. The school's staff and parents are provided with professional development training when implementing a new program. During these training and/or workshops, instruction, guidance, direction, and choice is given to those involved in the training process. The professional development training and/or workshops relates to the vision, goals and objectives of the new program.

Support Systems. The school's staff has support systems for those involved in the change process. Support systems are those systems and/or people who support, contribute, and assist the change process. Examples of support systems include the school staff, district staff, state department of education staff, parents, and community. Support systems that are not people related support systems include an appropriate amount of materials and supplies to support the change process.

Planning Time. The school's staff has an appropriate amount of planning time and planning structure when implementing a new program. This planning structure includes daily planning before, during, and after the school day.

Communication & Information. The school's staff conveys and shares information pertaining to all areas of the new program to those directly affected by the change process such as parents, teachers, district administrators, and the community.

Teamwork & Collaboration. The school's staff works together to implement the new program. The staff meets, plans, creates, designs, and coordinates all aspects of the new program on a regular basis.

Risk-Taking. The school's environment allows the staff to feel at ease to explore, experiment, and try new teaching methods related to the new program.

Barriers Addressed. The school's staff continually recognizes and addresses barriers before and during the implementation of the new program.

Evaluation & Revision. The school's staff analyzes the new program on a regular basis. From the analysis, the staff amends, changes, and generates appropriate modifications related to the new program (Anderson, 1993; Barclay & Boone, 1993; Belasco, 1990; Conley, 1993; Elmore, 1991; Fullan & Miles, 1992; Hall & Hord, 1987; Murhpy & Hallinger, 1993; Purnell & Hill, 1992; Sarason, 1993; Schlechty, 1991; Senge, 1990).

Statement of the Problem

The 1990 primary program mandate affects every elementary school in the state of Kentucky. This new program requires changes in existing classroom instruction as well as changes in the roles of administrators, teachers, and parents. While the primary program implementation involves many individuals (administrators, teachers, parents, and staff), the principals of each school are primarily responsible for leading the implementation process. The success of the primary program implementation depends on how well the principals manage and control this change process.

It is critically important that the principals understand what change characteristics to employ when implementing the seven critical attributes of the primary program. Based on the review of literature on effective change characteristics, principals must embrace and employ ten change characteristics when implementing change within their school. The ten change characteristics include: (1) a **leader** who is present and assists with the implementation process; (2) a staff who has a **shared vision** and **common goals** toward the new program; (3) an adequate amount of **training** for staff members and parents; (4) a variety of **support systems** within the school structure; (5) an appropriate amount of time to **plan** and design the new program; (6) a sufficient **communication** and **information** procedure for those affected by the change; (7) an opportunity for the staff to **team** and **collaborate**; (8) a time for **barriers** to be recognized and addressed; (9) the freedom for the staff to **take-risks**; and (10) the continual **evaluation** and **revision** of the new program. Overall, successful primary program implementation depends heavily on the principal's knowledge and employment of effective change characteristics during the implementation of the primary program.

Purpose of Study

The main purpose of this study was to determine the extent to which the ten change characteristics were employed in the successful implementation of the primary program. The ten characteristics of effective change are: leadership, vision, training, support systems, planning time, communication and information systems, teamwork and collaboration, risk-taking, analysis of barriers, and evaluation and revision. Overall, the intent of this study was to provide information on characteristics of effective change that will assist principals and schools in Kentucky, as well as principals and schools in other states that are implementing new programs.

Research Question

The main research question addressed in this study is:

> What effective change characteristics were employed by the school when implementing the successful primary program?

In order to answer this main question, two secondary inquiries were examined: (a) to describe the successful school's instructional program in relation to the seven critical attributes before the primary program mandate, (b) to describe the successful school's present instructional program in relation to the seven critical attributes of primary program implementation. These two secondary inquiries assisted the researcher in understanding the magnitude of change the school went through during the implementation process.

Limitations

This case study was conducted in one rural elementary school in a small central Kentucky school district in the area served by the Central Kentucky Education

Cooperative (CKEC). CKEC serves a total of 21 school districts. Therefore, the school district's policies and procedures for implementation may be different from other schools. Additionally, this case study was based on ten change characteristics identified by the researcher from a review of literature on change and these ten characteristics have a direct relationship to primary program implementation. The researcher acknowledges that there may be other change characteristics to explore when analyzing how a school changed during implementation of the primary program.

Summary of Study

In summary, this case study examined the process of change employed by an elementary school identified as successfully implementing the primary program. The main purpose of this case study was to analyze how the school implemented the primary program based on ten change characteristics: leadership, vision, training, support systems, planning time, communication and information systems, teamwork and collaboration, risk-taking, analysis of barriers, and evaluation and revision. Based on the analysis of data, the information presented can assist other principals who are implementing similar programs.

CHAPTER II

REVIEW OF LITERATURE

Introduction

The purpose of the review of literature is to describe characteristics of effective change and to describe the theoretical base for the development of the primary program. This review of literature is presented in two parts. The first part, consists of a review of literature on the theories and strategies of implementing effective change within the school context. In addition to the change theories, there is a description of research conducted on effective change in educational settings.

The second part is a review of literature on the theoretical base of the primary program. Accompanying the theoretical base of the primary program is research conducted on the primary approach to educating young children, both at the national level and Kentucky level.

Review of Literature on Change Characteristics

As a result of the educational restructuring process in Kentucky, schools must implement new and innovative programs within their schools. Fortunately, for Kentucky educators many theorists and futurists provide different strategies and characteristics to employ when implementing change. From the synthesis of the literature on effective change, ten change characteristics were identified for this case study. The researcher recognizes that there are other change characteristics; however, these ten change characteristics provide the structure and framework for this study. For the purpose of this review on change, the focus will be primarily based on these ten defined change characteristics. Figures 1, 2, and 3 provide a representation of the ten change characteristics:

FIGURE 1. CHANGE MATRIX 1

	HORD & HALL, (1987)	FULLAN & MILES, (1992)	SCHLECHTY, (1991)	SENGE, (1990)	PURNELL & HILL, (1992)
LEADERSHIP	Know concerns of individuals in change process	Power to manage the change	Orchestrate, coach & encourage	See through complexity to the underlying structures generating change	Teacher empowerment
VISION	Expectations attainable	Mission objectives & series of tasks	Vision understood by all	True vision reflects personal visions	Redefine missions
TRAINING	Share skills & visit other settings	Change in learning	Trained in new ways of thinking	Individuals in organization continually learn	Time to train through staff development & process skills
SUPPORT SYSTEMS	Use notes & conversation to provide encouragement	Assistance	Need for affiliation & collegial support & interaction	Everyone shares responsibility	Provisions of adequate resources & cooperative arrangements with universities
PLANNING	Involve teachers in discussion & decisions	Evolutionary planning	Act of planning an implementation activity	Strategic planning	Increase amount of time & reschedule school day
COMMUNICATION AND INFORMATION	Provide clear & accurate information	Local district closely engaged with reform	Communicate with outside constituencies	Dialogue & discussion	Provide small group meetings to discuss & disseminate new information
TEAMING AND COLLABORATION	Persons within & outside school collaborate	Change is resource hungry	Establish knowledge/work organizations	Team learning	Teacher interaction & classroom collaboration
BARRIERS	Legitimize existence of personal concern	Embrace & confront problems	Reformulate ideas & interests of those involved	Problem identified & solved through a fundamental solution	Remove barriers
RISK-TAKING	Respect & encourage interest for finding a better way	Climate that encourages risk-taking	Encourage inventiveness from the customer	Foster risk-taking & experimentation	Provide time for experimentation
EVALUATION AND REVISION	Refocus concerns	Track problems & monitor results of coping efforts	Evaluation & assessment of progress	Change mental models	Follow-up to look at what works & what does not

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FIGURE 2. CHANGE MATRIX 2

	BARCLAY & BOONE, (1993)	BERMAN & MCLAUGHLIN, (1977)	ELMORE, (1991)	BELASCO, (1990)	ANDERSON, (1993)
LEADERSHIP	Leadership opportunities for teachers	Principal support	Guide & facilitate educational professionals	Empower, create tomorrow, prepare, & change	Administrative roles & responsibilities
VISION	Focus on a clear sense of purpose	Specificity of goals	Involves staff in developing goals & values	Each person sets goals & action plans	Vision
TRAINING	Variety of professional growth opportunities	Training received	Professional development training	Train extensively & obtain resources	Ongoing teacher development
SUPPORT SYSTEMS	Principal supports the changes	Support systems	Building new coalitions	Empower people to share the vision	Public & political support & networking
PLANNING	Time to plan & develop actions plans	Extra effort required by staff	Provide time to plan & work with colleagues	Involve every level in planning	Teachers given time to plan
COMMUNICATION AND INFORMATION	Develop community awareness & networks	Project meetings	Communicate goals, guiding images & information	Set up regular communication channels	Networks serve as a major communication channels
TEAMING AND COLLABORATION	Collaboration between teachers, parents & children	Participation in project decisions	School-based management/ shared decision making	Talk about "the team", "our vision" & "our results"	School community councils, site-based councils
BARRIERS	Shares successes & failures		Learn from successes & mistakes	Anticipate obstacles & deal with them	Teachers, schools & districts try new approaches
RISK-TAKING	Empower teachers to take risks		Encourage experimentation & risk-taking	Give people permission to use the vision	Give people permission to use the new vision
EVALUATION AND REVISION	Continuous evaluation		Continually assess the effects of experiments	Turn mistakes into a learning experience	Recognition that policies need review & re-design teaching & learning

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FIGURE 3. CHANGE MATRIX 3

	CONLEY, (1993)	SARASON, (1993)	MURPHY & HALLINGER, (1993)
LEADERSHIP	Planner, facilitator, & communicator. Teachers also become leaders	Institutes leadership that encourages teachers and staff to function freely	Empower all members of school community
VISION	Clear sense of purpose linked to the vision	Adopt a new philosophy	Establish a vision for the school
TRAINING	Opportunities for teacher growth and learning	In-house in-service training	Provide professional development opportunities
SUPPORT SYSTEMS	Schools move toward partnership models	Support staff and principal collaborate in creating a learning environment	Provide time to plan for the change
PLANNING	Adequate time to develop and practice new skills		Gain environmental support by involving families
COMMUNICATION AND INFORMATION	Principals provide information to the staff		Develop communication networks
TEAMING AND COLLABORATION	Significant teacher collaboration and sharing of goals	Teachers cooperate and network by team teaching	Team building with group decision making
BARRIERS	Employ strategies to identify and resolve new conflict	Break down barriers	Analyze problems & develop solutions
RISK-TAKING	Trust is built to allow for risk-taking between the management and labor	Learning unhampered by fear of failure, reprisals, or ridicule	Unleash teachers to try new approaches
EVALUATION AND REVISION	Abundance of continuous improvement	Ongoing evaluation between teachers and students	Ongoing monitoring of progress through documentation

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Discussion of the Ten Change Characteristics

Leadership

The first predominant change characteristic and perhaps the most important is the need for quality leadership when implementing new programs. Theorists state that principals must possess many qualities during the change process; the ability to remove barriers, motivate people in the direction of the change, help staff identify strategies for attaining the goals, and actively involve themselves in a positive way. From the change literature, theorists concur that the key to effective leadership is the ability of the leader to cohesively pull all the change characteristics together. (Badaracco & Ellsworth 1989; Covey, 1991; Fullan, 1991; Mitchell & Tucker, 1992; Schlechty 1991; Sergiovanni 1992; Walton 1986).

Evans (1993), describes leaders as authentic if they connect what they think, see, and do in the school environment. Evans comments further on leaders:

> Leaders whose personal values and aspirations for their schools are consistent, coherent, and reflected in daily behavior are credible and inspire trust-they are leaders worth falling into the uncertainties of change (p. 21).

Two other theorists, Fullan and Miles (1992), analyzed obstacles during the change process. This analysis revealed that the obstacle to change is not the lack of innovative programs but rather the enormous quantity of fragmented, uncoordinated, and continued attempts to change existing programs within schools. These theorists state, "there are as many myths as there are truths associated with change" (Fullan & Miles, 1992, p. 745).

Fullan and Miles agree that change can not be employed without a school leader devoted to monitoring implementation, keeping the staff informed of what is happening, linking multiple change projects, locating unsolved problems, and facilitating clear coping actions.

Hord, Rutherford, Huling-Austin, and Hall (1987) state that change is a process, not an event, and is accomplished by individuals, not groups. Additionally, change is described as a personal experience where each individual is involved in a developmental growth period. Hord et al. suggest that the focus during the change process must be on three areas; the individual, the change, and the content.

To successfully implement the change process, Hord et al. encourage the implementation of the Concerns Based Adoptive Model (CBAM). Hord et al. (1987) declare that individuals have concerns about changing to new programs and that these concerns will inevitably influence the implementation of the new changes. Awareness describes the first level of the CBAM process, in which people begin to become aware of the need for change. This level is followed by the informational level where those involved in the process would like more information concerning the changes. Next, is the personal level, in which the person asks, "How will the program affect me"? Those involved in the change process should be provided with organizational details. By recognizing the details, both the management level and the effect of the change effort on students will be understood. Finally, individuals involved in the change process should be given time to collaborate with peers and be given the opportunity to redefine their professional goals and vision.

Conley (1993), offers additional ideas on how a principal can successfully implement new programs. Conley states, "principals in restructuring schools lead through and with others, not by dictating but by facilitating" (p. 79). Additionally, Conley contends that leaders need to facilitate, communicate, plan, and allow teachers to become leaders in the school building. Furthermore, Sarason (1993), suggests that leaders should encourage teachers and staff to function freely in the school environment.

Another key leadership element, discussed by Murphy and Hallinger (1993), is to empower and involve all members of the school community in the decision-making process. These theorists stress that the school's leader must instill this type of decision-making behavior in all staff members. Hord et al. identified six change areas that a leader must implement in order for effective change to occur. The six areas are developing supportive organizational arrangements, promoting training, consulting and reinforcing staff members, monitoring the program, communicating externally about the new program, and disseminating information and materials to others (Hord et al., 1987).

Vision

Another primary change characteristic that theorists find necessary for successful implementation of new programs is having a vision within the school. Many theorists state that a vision must be established and that this vision must be related to the goals of the program being implemented (Barclay & Boone, 1993; Miller, 1992; Murphy & Hallinger, 1993; Schlechty, 1991). Theorists describe vision in many similar ways. Senge (1990) and Schlechty (1991), state that schools which are implementing new programs should have a true shared vision and that this vision should be understood by all those involved in the change process. Barclay and Boone (1993), commented on change by stating that when a school is designing a new program there must be a focus on a clear sense of purpose.

Conley (1993), states that the vision should be created jointly by the staff and be clearly and repeatedly articulated in the school. He states, "It serves as a screen through which new ideas, proposals, and programs are viewed and evaluated" (p. 80).

Additionally, the Concern Based Adoption Model (Hord et al., 1987), stresses that all goals and expectations should be attainable when implementing new ideas or programs. Theorist, Sarason (1993), finds it necessary for educators to adopt a new philosophy and create a purpose toward improvement of service to the students and the community.

Furthermore, other theorists suggest that there should be a mission, objectives, and a series of tasks arranged well in advance (Berman & McLaughlin, 1977; Fullan & Miles, 1992; Vandercook, Bell, & York, 1991). In addition to a school-wide vision, Belasco (1990), and Senge (1990), contend that an organization must encourage members to set personal goals and a personal vision that relate to the overall school goals and school vision. By encouraging teachers to develop their own personal goals and vision, the school becomes a learning organization. Overall, several theorists acknowledge that there should be a shared vision and this vision must be embraced by all involved in the change process. Theorists surmise that this vision should be put into active practice within the organization that is changing.

Training

Another important change characteristic, is giving those who are involved in implementing the new program professional development opportunities along with an appropriate amount of time to train for the new program (Conley, 1993; Murphy, & Hallinger, 1993). Several theorists agree that in order for change to be effectively implemented there must be staff development and training for teachers (Asayesh, 1993; Barclay & Boone, 1993; Berman & McLaughlin 1977; Purnell & Hill, 1992; Schlechty 1991; Senge, 1990; Anderson, 1993). Both Hord et al. (1987) and Berman and McLaughlin (1977), suggest that staff members share skills and visit other settings to observe and learn more about their respective change topic.

Senge (1990), emphasizes that schools must transform themselves into "learning organizations" through the integration of five disciplines: systems thinking, personal mastery, mental models, team learning, and shared visions. Senge argues that by becoming learning organizations those involved in the change process must develop personally as well as professionally. Several theorists recommend that professional development training be ongoing and continuous throughout the change process (Anderson, 1993; Conley, 1993; Fullan & Miles, 1992). Schlechty (1991), advocates training to encourage educators to think in new and different ways. Thus, he contends that educators cannot go on thinking in the same ways about students and instruction.

Purnell and Hill (1992), cite research by Guskey on staff development. This research indicates that changing teachers' beliefs and attitudes occurs only after trying new practices and observing positive results with students. Purnell and Hill stressed that trained teachers still require practice, feedback, and assistance on new approaches. Several theorists state the importance of time to train and process the new skills through staff development training. Theorists concur that those involved in the change process need opportunities to train and acquire information related to the new programs.

Another aspect of training is the opportunity for the school's staff to observe in classrooms that have implemented similar programs. Bridge, Winograd, and Reitsma (1993), discuss change in the school setting and contend that teachers need time to observe other teachers and programs which are implementing similar programs. Bridge et al. (1993) indicate that most teachers believe when observing other primary classrooms gave them more assistance in implementing the primary program than any other type of experience. Bridge paraphrases an old axiom, "A visit is worth a thousand words" (1993, p. 220).

Chenowith and Everhart (1991), agree that observing is important; however, they state that observing can also be like visiting a foreign country. These theorists recommend questions that visitors should ask when observing other successful restructured schools. These three questions are: (a) What is the meaning of change?; (b) What is the organizational structure of change?; and (c) What is the affects of change?. Overall, Chenowith and Everhart contend that an observer look beyond the surface and not evaluate the program in absolute terms but analyze how the program is in the context of the school's environment.

Support Systems

Another major finding from the review of change literature, was that support systems are needed in the school to assist teachers and staff members who are involved in the implementation of change. Many theorists provide suggestions on how to specifically develop support systems. For example, Purnell and Hill (1992), recommend that there be provisions of adequate resources from different people and cooperative arrangements with universities. Vandercook, Bell, and York (1992), emphasize that the staff involved in the change process surround themselves with supportive colleagues and friends when implementing change in the school. These theorists acknowledge that change is challenging and supportive people to help ease the obstacles and challenges.

Elmore (1991), describes support systems as building new coalitions that will assist in the change process; whereas, Anderson (1993), describes this process as the need for schools to build public and political support. Change can not be accomplished through isolation, there must be both the building of networks and alliances where people interact and encourage one another (Schlechty, 1991). Thus, schools must move toward partnership models in order to successfully implement change (Conley, 1993). Fullan and Miles (1992), state that schools cannot stay innovative without the continuing support of the district and other agencies. In contrast, Murphy and Hallinger (1993), define support as the need to stimulate environmental support within the school that is implementing new programs. This type of support refers to the support that comes from a variety of sources; school boards, teacher unions, superintendents and other district administrators, community leaders, parents, and an externally based facilitator (Murphy & Hallinger, 1993, p. 258).

Another support system necessary during the change process is an appropriate amount of materials and resources available to the staff (Belasco, 1990; Conley, 1993; Murphy & Hallinger, 1993; Sarason, 1993). Many of these theorists stress the need for start-up resources and additional funding during the implementation process. Furthermore, new programs need resources to support individual teaching planning time, structured release time for collaborative planning and reflection, and special training to facilitate the school's development (Murphy & Hallinger, 1993).

Belasco (1990), believes that "during the change process there should be an investment of resources in the new tomorrow" (1990, p. 81). When change is occurring, the people involved in the change should have the resources they need: budget, facilities, and staff. Fullan and Miles (1992), state the need for schools to become resource-hungry by scanning the environment and identifying and acquiring resources by networking, negotiating, reworking, or simply grabbing them, when appropriate. This idea is similar to the change characteristic, support systems.

Planning Time

Providing educators with the time to plan and implement new programs was another characteristic found to be necessary for effective change. Theorists provide a variety of suggestions on planning. Purnell and Hill (1992), state that there should be an increased amount of time available to plan and that the school day schedule should allow for this planning. Other theorists found that the staff should plan and develop action plans on how they intend to proceed along with involving teachers in the discussion and decision making process (Belasco, 1990; Conley, 1993; Elmore, 1991). According to Fullan and Miles (1992), there are no blueprints for change; however, there should be a guided journey throughout the change process. Miles and Miles (cited in Fullan & Miles, 1992), suggest that there be an evolutionary planning process:

> The evolutionary perspective rests on the assumption that the environment both inside and outside organizations is often chaotic. No specific plan can last for very long, because it will either become outmoded due to changing external pressures, or because disagreement over priorities arises within the organization. Yet there is not reason to assume that the best response is to plan passively relying on incremental decisions. Instead, the organization can cycle back and forth between efforts to gain normative consensus about what it may become, to plan strategies for getting there and to carry out decentralized incremental experimentation that harnesses the creativity of all members to the change effort..... Strategy is viewed as a flexible tool, rather than a semi-permanent expansion of the mission (cited in Fullan & Miles, 1992, p. 749).

Schlechty (1991), proposes that schools involved in the change process, need to explore issues, conceptualize the change, and think of planning as an implementation activity. Murphy and Hallinger (1993), suggest that it takes anywhere from three to six years to implement a new program within a school. Those involved in the restructuring process must understand the extensive amount time it takes to reform the schools (Murphy & Hallinger, 1993).

Senge (1990), refers to the planning process as the strategic planning process. Strategic planning is defined as proactive and long-term, instead of reactive and short-term. In other words, Senge promotes planning to reveal tomorrow's opportunities and to focus on long-term visions instead of short-term visions. He believes that planning should incorporate the attitude of the Japanese and states, "The Japanese believe building a great organization is like growing a tree; it takes twenty-five to fifty years" (p. 210).

Communication and Information

Many of the theorists agree that in order for change to be successful, there must be a method of communicating the new information to those who are directly affected by the change. The CBAM (Hord et al., 1987) stresses that those who are implementing change within a school should be given clear and accurate information regarding the new program. By communicating with those involved in the change process, less fear and greater understanding of the changes can be developed (Schlechty, 1992).

Schlechty also suggests that communication should be conducted with outside constituencies that are directly affected by the change. Similarly, Belasco (1990), indicates that there should be regular multiple communication channels set up between the staff and leaders. Additionally, Belasco suggests that communication should involve discussions concerning the success of others and talk should be about "the team" and "our vision" and "our results."

Teaming and Collaboration

Another change characteristic, teaming and collaboration, is recommended by theorists to be an integral part of the change process. Theorists cite a variety of ways on how to implement teaming and collaboration within the school. Purnell and Hill (1992), state that teacher interaction and classroom collaboration be employed in the school when change is being implemented. Elmore (1991), states that teachers involved in change require the access to other teacher's knowledge base. In other words, teachers need time to discuss each others' teaching strategies and techniques. Elmore believes this type of sharing will enhance teachers' teaching strategies and techniques and provide them with new ways of teaching in the classroom. Similarly, Senge (1990) defines collaboration as the opportunity for team learning, where all those involved in the change process learn together. In essence, those involved in the change process should collaborate and discuss the changes occurring in the school.

The CBAM addresses two levels, collaboration and refocusing, where individuals in the change process are given time to collaborate with peers and help individuals redefine their goals and visions (Hord et al., 1987). Basically, the CBAM promotes teaming and collaboration with persons within and outside the school. Purnell and Hill (1992), stress that working in teams requires teachers to learn how to work together and develop trust with each other before addressing issues of curriculum and instruction can be addressed. These theorists state this process of teaming may take years to develop, and many times teams never reach this final destination of teaming.

Sarason (1993), contends that as a result of team teaching, cooperation and networking are developed by teachers. Conley (1993), extends this idea and provides an in-depth description on how schools can encourage teamwork among staff members. He states that staff meetings should discuss and critique the newest ideas in education, rather than spend time on solving problems. Additionally, Conley (1993) believes that if teachers are going to make more decisions, then they will need to develop communication, negotiation, consensus, goal-setting, and conflict resolution skills.

Murphy and Hallinger (1993), stress the need for collaborative inquiry where team building with group decision making occurs in the school setting. The structure and culture of teaching is inherently isolated (cited in Conley, 1993). The Carnegie Forum and the Holmes Group (cited in Conley, 1993) stress the need for the development of new organizational structures in schools implementing change. These new organizational structures would provide teachers with the opportunity to plan and teach together.

Barriers Recognized and Addressed

Another prevalent change characteristic is the need to recognize and address barriers before and during the change process (Cuban 1990; Fullan & Miles 1992; Senge 1992). Senge (1990), promotes that problems should be identified and fundamental solutions for these problems be found during the change process. He states that solving a problem fundamentally takes more time but is far more effective than solving the problem with a "quick fix" solution.

Purnell and Hill (1992), suggest that barriers be removed; whereas, Belasco believes that problems should be anticipated and dealt with as needed. Furthermore, Fullan and Miles (1992), state that problems should be embraced and confronted. Overall, theorists contend that those involved in the change process need to learn from their successes as well as their mistakes and failures (Barclay & Boone, 1993; & Elmore, 1991).

Shedd and Bachrach's (1991), comment on barriers and state that when conflicts arise, the goal may not be to eliminate all conflict, but to implement new strategies that allow new sources of conflict to be identified and resolved. In contrast, Sarason (1993) describes barriers as those areas that need to be broken down between learning disciplines. He suggests that barriers between age, sex, and ability levels be eliminated. He believes that breaking down these types of barriers allow teachers and students to cooperate and work together in teams.

Murphy and Hallinger (1993) cite a principal's comments from a school that had successfully restructured. This principal stated that he allowed his staff to analyze their own problems, come up with their own solutions, and then experiment with these solutions. Additionally, the principal stressed that the benefits of this type of behavior is overwhelming.

Researchers O'Connell, Bray, Armstrong, & Cox (1988), identify four elements that are common to all change strategies: collaboration, vision-building, action, and reflection. One of these change characteristics, reflection, can be closely connected to recognizing and addressing barriers. These researchers emphasize the importance of educators reflecting on prior knowledge and applying it to new knowledge. Further, reflecting allows educators to reach out to external sources for new ideas and then internally compare those ideas to their own experiences. In essence, reflection provides both a basis for renewing the school and a new frame of reference for the staff to solve problems (O'Connell et al., 1988).

Risk-Taking

Changes in today's schools require many changes in teachers' methods of teaching and administrators' system of leading. Therefore, theorists insist that risk-taking and experimentation be encouraged for those who are implementing new programs (Fullan &

Miles, 1992; Hord et al., 1987; Schlechty, 1990; Senge, 1990). Anderson (1993), describes risk-taking as providing teachers, schools, and districts with the opportunity to try new approaches.

Belasco (1990) states that once a vision is established, then schools should give the staff the permission and opportunity to implement the new vision. The CBAM (1987) emphasizes respect and encouragement of finding a better way of implementing new ideas during the change process. Furthermore, Elmore (1991), discussed how the Dade County Public School District encourages the school staff to experiment without fear of punishment for their failures. Elmore states, "Districts are moving from the known to the unknown, so risks are an essential part of progress" (Elmore, 1991, p. 226).

According to Conley (1993), risk-taking can only occur if trust is first developed on a small scale and then expanded on as success occurs. This type of risk-taking allows all those involved in the change process to experiment. Learning should be unhampered by fear of failure, reprisals, or ridicule (Sarason, 1993).

Murphy and Hallinger (1993), cite another successful restructured school's principal. This principal stated that he provides an environment that is conducive to risk-taking within the school. He said that by allowing teachers to run the school, they develop self-confidence, and assertiveness, and become innovative risk-takers. Murphy and Hallinger (1993), refer to this kind of risk-taking as "unleashing" the teachers during the school change process (p. 73).

In order for risks to be taken the staff must be empowered to make decisions (Conley, 1993). Conley suggests that it is a leader's responsibility to "let go" and learn how to support decision-making from the sideline. This type of leadership requires remaining silent in meetings and/or trusting teachers to make decisions (Conley, 1993, p. 82). Conley finds that new conceptions of teaching include other efforts to expand teachers' roles and responsibilities beyond their regular classroom assignments.

Schlechty (1991), perceives teacher empowerment as a necessary element but he frames this idea in terms of child benefit and not in terms of teacher benefit. Additionally, he finds it essential to foster participatory leadership in the school. Many successful businesses such as Xerox and Ford, have restructured to focus on empowerment and developing employees from the lowest hierarchy to the highest (p. 52).

Evaluation and Revision

According to several theorists, there must be time and a structure for those involved in implementing new programs to evaluate and revise the new programs. These theorists contend that the change process is not complete without this evaluation and revision process. For example, Purnell and Hill (1992), state that there should be a follow-up to look at what works and what does not with the new approaches. Barclay and Boone (1993), find it important to continually improve by evaluating and documenting the new changes.

Sarason (1993), states that the learning should involve ongoing evaluation between the teachers and students. In addition, Conley (1993) contends that schools who have successfully implemented change is a result of the staff's continued evaluation of the new program. Another way to revise and evaluate programs is through ongoing monitoring by constant documentation of the program (Murphy & Hallinger, 1993). These theorists discuss how successful restructured schools frequently pilot test new programs and then evaluate the new programs.

Change Theories and Strategies

Definition of the Change Process

Recently, there is an increase in the number of theories and strategies on effective educational change. Perhaps the recent resurgence of interest in change theory is due to the rapid increase in the restructuring of schools throughout the country. Presently, schools in Kentucky are in the process of restructuring their schools because of the passage of the 1990 Kentucky Education Reform Act (KERA). KERA requires restructuring at every level in the public school system, including the Kentucky Department of Education (KDE), local school districts, and individual schools. Sashkin and Egermeir (1992), provide one of the most comprehensive definitions of the term restructuring:

> "Restructuring involves changes in roles, rules, and relationships between and among students and teachers, teachers and administrators, and administrators at various levels from the school building to the district office to the State level, all with the aim of improving student outcomes" (1992, p. 16).

At first, KERA required a top-down approach to restructuring, where the goals and outcomes were developed by three appointed committees; curriculum, governance, and finance. In describing the implementation of KERA, Steffy (1993), related Fullan's top-down, bottom-up approach to the changes presently implemented in Kentucky schools. Steffy states that as a result of the goals and learner outcomes defined in KERA, Kentucky schools can now make decisions at the school level. This type of structure constitutes bottom-up restructuring. This bottom-up approach provides local schools with the opportunity to develop programs through school-based decision making councils and primary committees. Although, schools must work toward the goals and academic expectations of KERA, each school has the ability to design its primary program to meet the needs of their students.

According to Anderson (1993), bottom-up change is a continuum of systemic change, with a six stage developmental process. Anderson's description of the six stages stress that the path to change will not be linear but will be one which goes back and forth among all stages. These stages are defined as the maintenance of the old system, awareness, exploration, transition, emergence of the new infrastructure, and predominance of the new system. Anderson contends that systemic change is affected by the following elements: vision, public and political support, networking, teaching and learning changes, administrative roles and responsibilities, and policy alignment at each stage of the change process.

Holzman (1993) contends that in order for schools to successfully implement new programs, systemic change must be fully understood. Holzman (1993) describes five ways for educators to understand the term systemic change. These five descriptions of systemic include: working with school systems, district bureaucracies or state departments, to effect change; working with every school in a system, working with every aspect of the school system; recognizing that systemic means systematic; and understanding that systemic means fundamental change. Regarding systemic change Holzman states:

> "Both horizontal and vertical structures must be considered in change and anything less than a systemic approach will find the fabric of change unraveling at one end, even as it is being woven at the other" (p. 18).

Several theorists agree that change in educational systems can only be successful if change begins with totally restructuring the present system (Holzman, 1993; Huberman, & Miles, 1984; McLaughlin, 1990). Many educators realize that success of the restructuring movement depends on the change process. Hager (1987) contends that most of the change literature focuses primarily on philosophical beliefs rather than actual research-based models. Hager emphasizes that these philosophical beliefs can provide a deeper understanding of the change process and what is required by educators to make change work.

Research on the Change Process

Rand Study: Phase I

One of the first research studies involving effective change strategies that are applicable to the implementation of large educational change were the Rand Studies (Hager, 1987). These studies involved research at the classroom and the district level and were funded by federal change agent programs. The studies were divided into two phases. Phase I dealt with the initiation and implementation of change projects by examining four federal change agent programs: Elementary and Secondary Education Act Title III, Innovative Projects; Elementary and Secondary Education Act Title VII, Bilingual Projects; Vocational Education Act, 1968 Amendments, Part D, Exemplary Programs; and the Right-to-Read Program (Berman, McLaughlin, Bass, Pauly, & Zellman, 1977, p. 4).

In the Phase I study, researchers looked at four different programs in 300 projects through a nationwide survey sampling projects in their last or next to last year of federal funding, interviewed an average of nine members in each school district, and conducted field studies from 29 projects from the survey sample (Berman et al., 1977, p. 47).

Researchers in Phase I concluded that federal change agent policies had their primary effect on the initiation of projects and not on the implementation of local innovations. Further, researchers found that federal change agent policies exercised limited leverage on the course of innovations due to the fact that they did not influence those factors most responsible for effective implementation (Berman et al., 1977, p. 24).

Rand Study: Phase II

Phase II of the study examined what happened to local projects when federal funding stopped, specifically in ESEA Title III and ESEA Title VII. This study focused on the continuation of innovations at the conclusion of receiving federal grants and the long-term effects of the federal policy of stimulating local education reform by providing seed money to school districts (Berman et al., 1977). Phase II used several methodologies, a nationwide survey consisting of telephone and personal interviews, separate questionnaires administered to teachers, principals, and superintendents, field studies in selected school districts, and statistical analyses (p. 30). Rand researchers believed that in order to identify the factors affecting continuation, it was important to examine those factors related to the implementation and teacher change (p. 9). Researchers grouped findings into three categories: federal input, project characteristics, and institutional setting.

Rand Study II had two categories of classroom level criteria, project characteristics and institutional setting. Project characteristics had two divisions called "scope of change" and "implementation strategies" with a total of eleven criteria. Institutional setting consisted of three divisions: organizational climate and leadership, school characteristics, and teacher characteristics with a total of seven criteria (Hager, 1987). The researchers found that funding in each district only influenced the projects by the district's ability to begin the projects and not in the way they used the federal funds.

Concerning project characteristics, there were three subcategories; educational method, scope of proposed change, implementation strategies. Researchers indicated that the educational method had little effect on the implementation, outcome, and continuation of the project. Regarding scope of proposed change, researchers found that those projects attempting broad change were more likely to be successful than those attempting narrow change. Furthermore, the implementation strategies affected the projects' outcomes and continuation. The study indicates that effective staff support services are needed in the areas of classroom assistance, consultants, observations of other classrooms, and project meetings. Berman et al. state that well-executed staff support activities had positive effects on the variables: percentage of project goals achieved, teacher change, improved student performance, and continuation of the project methods and materials (Berman, et al., 1977).

Results indicated that teachers who participated in project decisions assisted in the implementation process. Researchers showed that this participation created a "sense of ownership" among the teachers. Also, the number of project schools and the funding level per student had no significant relationship to project outcome or continuation.

In the category institutional setting, there were three subcategories: organizational climate and leadership, school characteristics, and teacher characteristics. Researchers indicated that leadership was an important factor at the school and at the project level. Berman et al. (1977), stated that the organizational climate of the project highly affected the percentage of goals achieved and project continuation.

The characteristics of the school had little or no relationship to the project outcome or continuation. However, Berman et al. (1977), points out that teacher characteristics had major effects on project outcomes. Teachers' sense of efficacy was the element that affected percentage goals, student performance, teacher change, and continuation of project methods and materials. Conversely, teachers' years of experience in teaching had no relationship to project outcomes; whereas, teachers' verbal ability affected student performance but did not affect implementation, teacher change, or continuation of the project.

Berman et al. discussed how making the decision to continue the program was difficult because it required the district to commit financially, organizationally, and politically. Projects followed one of two patterns. First, Berman et al. explained that some projects were isolated, meaning that the district administrators let individual schools decide on implementation strategies. Second, was the pro forma pattern, where district officials decided to continue the project but the teachers did not use the project activities extensively in their classrooms. In contrast, another pattern found was that the projects became institutionalized, meaning that the projects became integrated into the school's regular system at both the district and classroom levels (Berman et al., 1977).

Researchers concluded that federal funds have stimulated the local adoption of a wide variety of innovations, but adoption does not assure effective implementation. Also, effective implementation does not guarantee the long-term survival of projects as related to improvements. Berman et al. found that the local process of change is the result of the interplay between the new program and the institutional setting itself which is also subject to change. The researchers define the process into three separate phases: mobilization, implementation, and institutionalization. These three phases progress in linear sequence and are interconnected by complex and not well understood feedback. In summary, neither funding levels nor educational methods employed had a significant effect either on initial project outcomes or on continuation in the classroom (Berman et al., 1977).

School Change Models

Current research on educational change was conducted by Sashkin and Egermeir (1992), who examined the 30 year history of educational change. They identified three perspectives that have had most influence on change: rational-scientific perspective, political perspective, and cultural perspective. In the analysis of the history of change, a new structure for change was presented called, "comprehensive restructuring." Sashkin and Egermeir believe that this structure provides the most promise for successful systemic change for future reform. Additionally, researchers identify four strategies that have a direct influence on the perspectives of change: fix the parts, fix the people, fix the schools, and fix the system.

Sashkin and Egermeir (1992) cite key research studies that correlate to the four strategies. The first strategy "fix the parts" refers to the transfer and implementation of specific educational innovations. One of the first types of these kinds of studies was the Pilot State Dissemination Project (PSDP), where dissemination agents were established in three states to provide information, along with extensive technical assistance, helping teachers and administrators solve problems. Sashkin and Egermeir state that the PSDP study was followed by the Rand Studies from 1973 to 1978 and the Project Innovation Packages study (PIP). PIP examined complete innovation packages representing approaches to compensatory education in reading and math. Results of the study found that teachers implemented the packages mechanically and that there was very little difference between prior teaching practice and years of experience.

Sashkin and Egermeir (1992) presented a number of studies that showed favorable results to the dissemination of innovation such as the National Diffusion Network where the focus was on connecting users with one specific set of innovations. Furthermore, the study, "Dissemination Efforts Supporting School Improvement" (DESSI) summarized by Crandall and Loucks (1983) indicate that there was a high local involvement and extensive contact and assistance from personal change agents, including support materials.

Other significant studies related to dissemination of innovation of educational change were the Experimental Schools Program (ESP), Individually Guided Education (IGE), and Effective Schools. The latter study, found several common characteristics needed for effective change to take place. These change characteristics discussed by Bossert (1985) include a safe, secure environment, expectations that all students can succeed, emphasis on basic skills and time spent on learning activities, clear objectives, and strong leadership characteristics.

Sashkin and Egermeir summarize the dissemination and use of innovations approach to change. Basically, through the synthesis of research on this strategy, "fix the parts", the researchers found that the more that dissemination consists of stand-alone information, the less likely it will be implemented by its potential users (1992, p. 11). These researchers also found that in order for a new program to be successful, there must be an increase in personal assistance and a continuation of support from administrators.

Strategy two, "fix the people", provides those involved in the change with appropriate training to develop professionally. Fullan's study on staff development discussed that staff development strategy can only be successful if staff development is seen as an overall strategy for professional and institutional reform (cited in Sashkin & Egermeir, 1992 p. 13).

The third strategy, "fix the school", is described as focusing on the organizational problems within the school rather than problems concerning only part of the organization. Sashkin and Egermeir state that Organization Development (OD), means changing the organization's culture. However, Sashkin and Egermeir point out that this approach is a costly and long-term process that never involved more than a small proportion of schools (p. 11). One OD model, Onward to Excellence, developed by the Northwest Regional Educational Laboratory, created a faculty-administrator team. Although, the OD model promotes student outcomes, solving problems, and achieving goals, this model targets individual schools and not school districts (Sashkin & Egermeir, 1992).

The last strategy, has existed for the last five years, and is referred to as comprehensive restructuring. This strategy incorporates the other three strategies as well as extending into other facets such as at the local, state, and national level reform (Sashkin & Egermeir, 1992). The researchers discuss four common patterns of this new restructuring; decentralized authority, accountability, curriculum alignment, and change in instruction. Sashkin and Egermeir believe that this type of educational change represents the hope for the future in school restructuring.

School Change Framework: A Contingency Model

Researchers, O'Connell, Bray, Armstrong, and Cox (1988), conducted a review of literature on change and developed a school change framework for those schools implementing change. These researchers contend that all school environments are not the same and do not need the same organizational structure. This change framework was designed for administrators, policy makers, and change consultants in an attempt to assist them in designing effective change strategies within their schools.

O'Connell et al. (1988), distinguishes four dimensions on a scale from low to high: complexity, comprehensibility, conflict, and change. Each dimension is organized by low conflict or complexity characteristics or high conflict or complexity characteristics. For example, the aspects of comprehensibility associated with low complexity implies that organizational problems are discrete and unchanging and the target of change is relatively clear. In contrast, the high organizational complexity and task uncertainty, develop into imprecise problems and the nature of difficulties is poorly defined.

Low conflict characteristics are defined as harmony, trust, open shared information; whereas, the high conflict characteristics are hostility, suspicion, and exclusiveness. The last dimension, change, provides stable characteristics associated with low conflict such as stable governance procedures, high levels of planning, and predictable funding. Conversely, high conflict areas regarding change are unstable governance procedures, high levels of reactiveness, and uncertain funding.

O'Connell et al. suggests that if schools identify where their staff is at in relation to these four dimensions, then the school can select appropriate strategies for managing the change. Additionally, the researchers speculate that this framework provides schools with better planning and implementing long-term systemic change.

Methodological Design of Local Change

Simonds and St. Lawrence (1972) researched various disciplines regarding educational change in order to develop a cohesive, structured methodology for designing change. Researchers developed a task flow change chart from studying educational change programs that encountered weaknesses. Researchers grouped these weaknesses into four major categories: 1) Change is made without prior analysis of its affects on the whole system; 2) Change is imposed externally, without regard to specific local needs; 3) Change is made for the sake of change, without regard to fundamental reform; and 4) No person within the system has specific responsibility for the design and maintenance of the change (Simonds & St. Lawrence, 1972, p. 4-5).

Additionally, these researchers argue that when change is implemented, a different set of demands are imposed on those affected and the school itself. If one component of the system is changes, then this change automatically creates change within the other components. Therefore, Simonds et al. suggests that the planner of change must predict what will happen when change takes place and provide the appropriate amount of resources, and communication mechanisms, in order for the change to be successful. Simonds and St. Lawrence's (1972) research on change provide the following task flow design for educators to use when implementing change:

Task 0	Develop the working relationship with the school. Organize a task force representative of all groups in the school. Clarify the deliberate role relationship. Specify the working arrangements and necessary resources, and generate the commitment of all parties to the design process.
Task 1	Determine the system's goals in the area of concern. Propose additional objectives commensurate with the themes of educational reform.
Task 2	Determine present level of accomplishment.
Task 3	Identify the causes of the shortcomings revealed in Task 2 by analyzing the interface between the components related to the shortcomings.
Task 4	Using the data from Task 3, select the initial points of attack, defining the kind of solution desired.
Task 5	Survey resources for solving the problem defined in Task 4. Describe the critical characteristics of relevant resources.
Task 6	Identify and analyze systemic constraints and supports which will affect the desirability of using the various resources identified in Task 5.
Task 7	On the basis of Task 6 information, select the elements of the change program, meeting criteria of efficacy, efficiency, and relevance and feasibility.
Task 8	Specify the essential features of the implementation plan. For each of the resources selected, determine, from Task 6 information, the related adjustments that must be made in the system.
Task 9	Design the change program, specifying operations, time lines and personnel to meet the requirements identified in Task 8.

Task 10 Design the evaluation plan and procedures (Simonds & St. Lawrence, 1972, p. 17).

Analysis of Educational Innovation

McLaughlin and Berman (1975), analyzed 200 school districts which attempted educational innovation. The researchers' perspective on educational change involves two levels of implementation: micro and macro. They state that "local innovators have a micro-problem where they must learn to implement new ideas and practices effectively" (p. 4). Additionally, the researchers state that "central planners and federal policymakers have macro-problems in which their federal plans can be implemented only as the cumulated product of micro-level, local implementations" (p. 4).

As a result of this study, the researchers indicated that macro plans developed at the central or federal level were only effective if they were in agreement with prior local commitments and capacity (McLaughlin & Berman, 1975). McLaughlin and Berman identified four implementation patterns that occur at the micro level: technological learning, non-implementation, cooptation, and mutual adaptation. They state that the change process does not involve learning about new equipment but rather it requires educators to acquire new role relationships and new ways of seeing oneself in relationship to others and the job (p. 8). Thus, through the analysis of the school districts, the researchers found that the macro problem of implementing plans involves both distinguishing between local capacities to change and devising policies that promote the development of adaptive structures and strategies at the local levels.

Systemwide Change

The last study cited is the study conducted by Waugh and Punch (1987), who reviewed studies related to the implementation of system-wide educational change, with a focus on teacher receptivity to the change. These researchers found general variables that affected change such as teachers' personal cost appraisal of the change and practicality of the new educational system in the classroom. Additional issues cited were attitudes, feelings, and beliefs concerning the previous educational system and the new emerging educational system (Waugh & Punch, 1987).

Summary of Review of Literature on Change

Implementing new programs within the educational system requires innovative programs as well as effective change characteristics. Kentucky's primary program has a strong theoretical base; however, unless principals develop and understand effective change characteristics then implementation cannot prevail.

One of the first studies on educational change was the Rand Studies. The Rand Studies provided researchers with a basis and a need in which to study educational change. However, current theories concerning the change process provide principals with ideas on "how to" effectively implement changes within schools.

Through the analyses of effective change literature, ten change characteristics emerged as necessary to implement change. These ten change characteristics were selected based on their repeated discussion in the literature and their relevance to primary program implementation.

The first change characteristic cited was leadership. Theorists suggest that leaders enable their staff to make decisions and solve problems throughout the change process. This opportunity for the staff to make decisions will help them to take ownership and responsibility for the new program. Overall, leaders in the school must cohesively merge several change characteristics in order to effectively implement new programs.

The second change characteristic discussed was the need for the development of a vision for the new program. Both theorists and researchers found that a vision is necessary in a school that is initiating change. Several theorists contend that the vision must be representative of the entire school's staff beliefs and be continually re-visited.

Next, was the issue of providing all staff members with the opportunity for staff development training in relation to the new program being implemented. Most of the theorists stressed the need for staff development opportunities. These staff development sessions should provide the staff with information on all facets of the new program.

Another important change characteristic is incorporating substantial support systems within the school. Several theorists suggested that support must come from all levels that have direct contact with the school such as the district, community, parent, and staff.

Additionally, most of the theorists stated that appropriate planning procedures must be given to staff members along with the efforts to communicate and disseminate new information to those involved in the change process. Furthermore, theorists and researchers state that in order for change to be effective there must be time to team and collaborate with other staff members. During this collaboration process, the staff must address and attempt to solve barriers of new programs.

Also, the review on change literature indicated that schools implementing new programs provide an environment that is conducive to risk-taking. In other words, if staff members are going to learn, then educators should have the opportunity to explore and investigate when implementing the new programs.

The last change characteristic discussed were evaluation and revision. Theorists agree that new programs should be continually evaluated and revised. Schools must analyze their new programs and make appropriate adjustments and modifications as needed. This evaluation and revision process must occur continually throughout the change process.

Theoretical Base of Kentucky's Primary Program

Kentucky's primary program is defined by KRS 158.030 (2) as that part of the elementary school program in which children are enrolled from the time they begin school until they are ready to enter fourth grade. Successful completion of the primary program is a prerequisite before a child can enter fourth grade (KRS § 158.030 (1)(2), 1994). The Kentucky Department of Education (KDE), has defined seven critical attributes that are to be an integral part of the primary program. These attributes are: developmentally appropriate practices, authentic assessment, continuous progress, professional teamwork, multi-age/multi-ability groups, and parent involvement are described in KDE's publication titled The Wonder Years.

In addition to the definition of the primary program there are different theories of early childhood that provide the foundation for the primary program. These theories constituent certain beliefs about how children learn and acquire knowledge. Many philosophers such as Piaget and Dewey agree that children learn best through an active environment in which they interact with meaningful "hands-on" experiences at their own pace and level (Dewey, 1963; Gindsburg & Opper, 1988). Bridge, Reitsma, & Winograd (1993) state, "the key to facilitating learning at school is to help children connect new to the known, to build on what they already know and to help them see how the new information relates to the known" (p. 9). This is commonly referred to as the constructivist view of learning where children construct meaning from their past experiences.

Several theorists indicate that children need opportunities for social interaction in small and large group settings to facilitate their language development and make meaning of their surrounding environment (Johnson, Johnson & Maruyama 1983; Katz & Chard, 1989; Pappas, Kiefer, & Levstik, 1990; Wells, 1986). Children in the primary classroom arrive at the primary program with a wealth of information and knowledge. Learning in the primary classroom is perceived as spiral and not linear, where the curriculum builds upon children's previous knowledge and experiences (Bridge, Reitsma, & Winograd, 1993; Edwards, Gandini, & Forman, 1993).

Teachers in the primary program are to design a variety of learning experiences that allow students to develop to their fullest potential while considering each student's predominate intelligence (The Wonder Years, 1990). Proponent of this approach, Howard

Gardner (1993) developed a theory concerning different intelligences referred to as the "multiple intelligences." Gardner (1993) identifies the following types of intelligences; musical, visual/spatial, kinesthetic, interpersonal, intrapersonal, linguistic, and mathematical/logical. Gardner contends that each and all of these intelligences be incorporated into the learning process.

Another type of research directly related to the elements of the primary program is brain-based education. Caine and Caine (1991), concur with researchers Blythe and Gardner (1990), on the idea that students need to have meaningful learning experiences where "parts" and "whole" interact cohesively. These researchers stress the need for children to be relaxed, alert, and given the opportunity to make connections during the learning process.

In the area of curriculum, many theorists state that children learn best in a learning environment which encourages self-directed activities in real-life settings. Philosophers Elkind, Swick, and Kamii are cited in The Wonder Years, 1990, encourage that children learn independently with a variety of individualized activities.

Many professional organizations support the philosophy of the primary program. For example, The National Association of Elementary School Principals (NAESP), (1990) issued a statement of their philosophy of early childhood education which correlates to Kentucky's primary program. The NAESP state that a program for young children should be based upon the interactive approach where learners are free to explore with diverse materials. Another organization, The National Association for Education of Young

Children (NAEYC) (1987) believe that curriculum should not be separate units and subjects but rather an integration of many subjects.

Overall, professional organizations concur that quality early childhood programs should develop a child's positive self-image, enhance social and emotional development, encourage independent thinking, develop problem solving skills, stimulate interest in the real world and improve social communication skills (The Wonder Years, 1990). All these areas relate to the philosophical base of Kentucky's primary program.

National Research Related to the Primary Program

At the national level, research on the primary approach is commonly referred to as the "non-graded" approach to early childhood education. There are many similarities between the non-graded approach and the primary approach to education. For example, both encourage multi-age grouping, team teaching, continuous grouping methods, and elimination of promotion and retention practices. Anderson and Pavan (1993), cite 37 research studies conducted from 1968 to 1976 comparing non-graded schools with graded schools. Anderson and Pavan reported that comparisons of graded and non-graded schools using standardized achievement tests continue to favor non-grading, and attendance in a non-graded school may improve the students' chances for good mental health and positive attitudes toward school. Additionally, Pavan's synthesis discovered that more than 5 to 10 percent of the students in a non-graded classroom enter fourth grade with their peers. Furthermore, there was evidence that there is higher achievement for African-Americans, boys, low socio-economic and underachiever students.

The Wonder Years (1990), presents additional findings from research related to developmentally appropriate practices for young children published by the United States Department of Education in What Works - Research about Teaching and Learning, and First Lessons - A Report on Elementary Education in America. These studies found many key elements that are necessary when implementing primary classrooms. One key element, is that children learn best when they can explore with materials and activities and develop positive peer group relationships through peer interaction (The Wonder Years, 1990). These findings correlate to the critical attributes of developmentally appropriate practices and multi-age/multi-ability grouping of the primary program.

Additionally, Goodlad and Anderson (1987), present research concerning the non-graded approach. For example, Holmes and Matthews (cited in Goodlad & Anderson, 1987), reported 44 studies on the effects of non-promotion on elementary and junior high pupils. Academic achievement, personal adjustment, self-concept, and attitude toward school were examined and showed that the negative effects of retention outweighed the positive affects on students. Otto's study (cited in Goodlad & Anderson, 1987), indicated that teachers vary in how they teach, how children become involved in the instructional program, and how teachers teach is extremely important in the non-graded approach. Findings revealed that availability of resources influenced teachers; therefore, if these resources are restricted then no major advantages can occur. Researchers contend that in order for the non-graded approach to be successful, teachers must be given the opportunity to provide feedback and that the internal organization must be altered.

Research by Gutierrez and Slavin (1992) reviewed four distinct categories of non-graded programs. First, was the non-graded program involving only one subject referred to as the Joplin-Like Programs. Second, was the non-graded programs involving multiple subjects which correlate to Anderson and Goodlad's non-graded approach. The next two approaches, incorporating individualized instruction and the individually guided programs (IGE), stressed individual instruction within the classroom. Researchers found that the outcomes of the non-graded programs depended on the type of non-graded program being implemented. All evidence indicated achievement gains; however, the most significant achievement gains occurred in the programs in which students were grouped such as the Joplin-like programs and the comprehensive programs (Anderson & Goodlad, 1987).

Research Related to the Development of Kentucky's Primary Program

Kentucky's development of the primary program is based on past and present research conducted by the Primary Program Committee. This Primary Program Committee was created by the Kentucky Department of Education to investigate literature and research on appropriate early childhood practices. The committee found many common themes and patterns by observing primary programs in Vermont, Indiana, Ohio, and Kentucky (The Wonder Years, 1990).

Several of the patterns reported by the committee were the integration of thematic units with skills embedded within the context, use of manipulative materials in the classroom, and activity-based experiences for the students. Another pattern found during the observations was the concept of assessing children through continuous progress. This assessment concept allows the student to progress at his or her own pace and reports student progress through narrative pupil reporting methods. Also, the committee reported that in many of the primary classrooms there was an equal emphasis on social, emotional, physical, aesthetic, and cognitive development of children.

The committee found that children in the classrooms were in non-traditional grouping structures, such as mixed-ability and multi-age groups, along with a limited amount of pull-out programs. According to the committee, participative management was predominant where teachers made decisions about the instructional program. Furthermore, several of the primary classrooms were facilitating extensive parent involvement programs. Overall, the analyses from the observations and review of literature, influenced the committees' development of the seven critical attributes of Kentucky's primary program (The Wonder Years, 1990).

First Year Reports on the Primary Program

Presently, there has been very little research conducted on the implementation of Kentucky's primary program. Raths, Katz, and Fanning (1992), researched various primary programs across the state. This study was funded by the Prichard Committee For Educational Excellence. The study addressed three questions:

1. To what extent have the schools implemented the primary school mandate?
2. How have parents, teachers, and administrators reacted to this new program design?
3. What are the factors that have facilitated or hindered schools in the process of implementing the primary program?

Regarding the first question, all primary programs observed were in the beginning stages of implementation. Researchers reported that a great deal needs to be accomplished in the primary classrooms and that the primary program mandate poses many conceptual and philosophical problems for teachers, principals, and parents. Reactions from parents, teachers, and administrators concerning the primary program disclosed that no single generalization can portray the attitudes of Kentucky's primary program. Many teachers believe that the reform issue is a mistake, that it will change with time, and many tax payers will be upset if test scores do not increase.

According to Raths, Katz, and Fanning (1992), there are many factors that have inhibited schools in the process of implementing the primary program. Perceptions of teachers' and administrators' found that not enough time has been given to implement the changes and that additional technical assistance is needed to create the changes. Additionally, researchers state that teachers and administrators need more help in the classroom and more instructional materials. Researchers provided their perceptions' of the changes and found that many teachers are volunteering to spend extra time, and that administrators are providing time for teachers to observe and train, along with encouraging their staff when frustrations arise. During the interviews, there appeared to be confusion about the seven critical attributes and each school's interpretations of these attributes (Raths, Katz, & Fanning, 1992).

Second Year Reports on the Primary Program

In 1993, Raths and Fanning reported for a second time on the implementation of the primary program. These researchers re-visited schools that had been actively implementing the primary program for one year. The major difference between the first and second study was that the researchers visited the school together and not separately.

Additionally, this study involved less observations and more time talking with teachers and principals.

The researchers defined seven problems that were prevalent in primary programs studied. The seven problems are: how to involve parents, integration of five-year-olds, passive children who are "slipping through the cracks", high/low grouping patterns perceived as better for younger children than older children, parents' misunderstandings of their child's progress, concerns about the intent and mandates of KERA, and problems with implementing authentic assessment.

Institute on Education Reform: Primary Progress Report

A more recent study, Kentucky's Primary Program: A Progress Report (February, 1994), was by professors from Kentucky's universities. During the Spring of 1993, researchers observed in 46 primary classrooms throughout Kentucky to determine the progress schools were making in primary program implementation. Researchers interviewed teachers and principals, observed primary classrooms, rated the primary classrooms, and asked teachers to fill out a survey regarding the support they had received from various sources during the implementation process. Findings were grouped into four categories: learning environment, developmentally appropriate practices, assessment, and educational partnerships, all of which relate to the critical attributes.

The researchers found that primary teachers had made progress in designing flexible physical learning environments and creating positive social-emotional climates. The two weakest areas, display of student work and design and use of learning centers, signified the need for teachers to learn more about ways to set up learning centers in which students work individually and in small groups (Bridge & Carney, 1994).

Developmentally appropriate practices were grouped into three subcategories; integrated instructional practices, varied instructional strategies, and flexible grouping. Bridge and Carney (1994), report that students were engaged in many meaning centered writing activities and that teachers were making progress toward implementing whole-language activities.

In contrast, the study found that several teachers were making little progress toward integrated instruction and that there were few examples of teachers developing broad based themes. Additionally, the researchers found there were few indications that teachers were using flexible grouping and most of the instructional day was devoted to large group instruction. Furthermore, evidence showed that teachers were using varied instructional strategies. The lowest score, student/teacher initiated activities, suggested that students were rarely allowed to initiate learning activities (Bridge, & Carney, 1994).

Mean scores for assessment were generated from three subcategories; ongoing assessment, student evaluation, and qualitative reporting methods. In the subcategory ongoing assessment, all mean scores were low which indicates that teachers were not using a variety of authentic assessment measures on a frequent and continuous basis to assess student progress. Bridge and Carney point out that there was no evidence that teachers were involving students in self-evaluation or in peer evaluation. Overall, the schools had moved away from letter grades and moved toward a more descriptive format using both checklists and narrative comments.

The aspects related to educational partnerships were divided into two subcategories; professional teamwork and parent involvement. Bridge and Carney report that the mean scores reflected evidence of some collaboration and teamwork among regular classroom teachers. However, several teachers stated that collaboration was limited due to lack of planning time. Types of parent involvement in the classroom are still very traditional, such as volunteer tutoring and clerical work. Overall, parent involvement was very minimal in the primary classrooms.

The teacher survey showed that teachers felt that their principals had provided them with the most support during the implementation followed by the support from the other teachers. However, teachers indicated that they had not had enough time to plan for the primary program and that they had received limited assistance from the regional primary consultant, from KDE, from the education cooperative in their area, and from their own district staff (Bridge & Carney, 1994).

Summary of Primary Program Review of Literature

Most of the research related to the primary program indicates that developmentally appropriate practices for young children incorporate the seven critical attributes of Kentucky's primary program. Collectively, research at the national level shows an increase in student achievement for those students involved in the primary approach. Presently, research on Kentucky's primary programs is limited. However, the present research findings suggests the need for improvement in all seven areas of the critical attributes. The researchers found that schools in Kentucky have made some progress in implementing two of the critical attributes, developmentally appropriate practices and professional teamwork; however, more time and assistance is needed to effectively implement the other five critical attributes. Perhaps, more information on the change process would assist schools in implementing the primary program.

Although, this investigation does not focus on the issue of the relevance and research base of the primary program, the researcher wanted to present substantial research in this area in order to explain the philosophical base of the primary program and also show current research on primary program implementation in the state of Kentucky. This review of literature on primary programs provide insight and information into the contextual background description of Kentucky's primary program and the need for improvement in relation to the seven critical attributes.

CHAPTER III

DESIGN OF THE STUDY

Introduction

The focus of this case study was on the process of change employed by an elementary school identified as successfully implementing the primary program under KERA. Criteria for selection of a successful primary program were based on the school implementing all seven critical attributes of Kentucky's mandated primary program. The seven attributes are: developmentally appropriate practices, professional teamwork, positive parent involvement, qualitative reporting, continuous progress, authentic assessment, and multi-age/multi-ability groupings.

To study this change process, the researcher analyzed how the school implemented the seven critical attributes of the primary program. Based on the review of effective change literature, the researcher identified ten common characteristics of effective change. These ten change characteristics served as a guide throughout the study. They are:

1. There were **leaders** who helped in implementing the new program.
2. There were shared **vision** and **common goals** in the school.
3. Teachers in successful schools had adequate **training**.
4. There were a variety of **support systems** available in the school.
5. There is evidence that an appropriate amount of **time** was given to **plan** for the new program.
6. There was adequate **communication** used in the school to **inform** those involved and affected by the changes.

7. Teachers were given the opportunity to **team** and **collaborate** with one another.

8. **Barriers** were recognized and addressed when implementing the new program.

9. Teachers were given the freedom to **take risks**.

10. There were procedures for **continuous evaluation** and **revision** of the new program.

The method of inquiry was a qualitative case study and data collection process included two primary data sources, interviews and document reviews. Also, the researcher used formal and informal observations as data sources throughout the case study. By combining multiple methods of data collection, the researcher gained a holistic perspective of the successful implementation of the primary program. This perspective enabled the researcher to provide an in-depth, description of the change process the school used to successfully implement the primary program.

Sample Selection

For the purpose of this study, the researcher referred to the school site as a successful primary school. The successful primary school was selected by reputational-case selection (Merriam, 1991). Reputational-case selection is the sample chosen based on the recommendation of educational leaders and early childhood education experts. Educational leaders are those who have had direct involvement with primary schools in Central Kentucky through observations, professional staff development, and assistance with implementing the primary program. These leaders serve in a variety of educational capacities such as principals, district curriculum supervisors, state department consultants, and university professors. To assure anonymity of these people the names and specific job titles will not be disclosed.

The successful primary school was identified from school districts in the Central Kentucky Education Cooperative (CKEC). CKEC assists schools in the implementation of the Kentucky Education Reform Act (KERA). In this case study, the school under investigation was a rural Kentucky elementary school and had a total of 12 primary classrooms with approximately 300 primary students. This school was one of nine schools in Kentucky nominated for the National Elementary School Recognition award and one of 14 schools chosen as a primary program model site for Kentucky educators.

Data Collection Procedure

Data were collected through interviews, observations, and document reviews. Interviews were conducted in two phases. Phase one interviews were conducted with the school's principal and three primary teachers. The purpose of these interviews was twofold; to acquire information related to the school's instructional program prior to the primary program mandate and to acquire information related to the school's present instructional program in relation to primary program implementation. The first set of interviews was directed by a general interview guide approach. This approach employed a predetermined set of issues explored with each interviewee (Patton, 1990).

Phase two interviews were conducted with the primary teachers in the school, primary parents of students in the school, the school district's instructional assistant superintendent, guidance counselor, librarian, instructional teaching assistants, instructional resource teacher, and the principal. These interviews assisted the researcher in determining what change characteristics the school utilized to implement the primary program.

Phase two interviews used an informal conversational approach where the interviewer relies primarily on the spontaneous generation of questions (Patton, 1990). However, probing questions were used, as needed, to address the seven critical attributes of the primary program and the change characteristics used in the implementation process. The researcher conducted three formal primary classroom observations in the school to confirm identification of the successful primary school. Additionally, the researcher informally observed several primary classrooms in the school and also reviewed documents to examine how the school was currently implementing the primary program and what change characteristics were used in the implementation process.

Phase One Interviews

Phase one interviews had two parts. First, the researcher contacted the school's principal by telephone to schedule an interview. The purpose of this interview was to introduce the proposed research study, to develop an understanding of the school's history prior to the primary program mandate, and to provide a contextual background description of the present primary program. Examples of questions used during this interview process were:

1. Describe the school's instructional program before the primary program mandate.
2. What is the school's present instructional program in relation to the seven critical attributes of the primary program?

3. When did the primary program begin and how many primary classrooms are there in the school? (See Appendix A for additional questions included in the interview).

Second, the researcher asked the principal to select three primary teachers who had made the most progress toward implementing the primary program. Concern of principal bias in the selection process of the three teachers was not an issue because the school had already been selected as a successful primary school. Thus, the three primary teachers were contacted and interviewed. The purpose of these interviews was to look at how the seven critical attributes of the primary program were presently being implemented. Information from the observations contributed to the contextual background description of the school's instructional program.

Phase Two Interviews

Phase two interviews began with scheduling and interviewing each primary teacher in the school. Additional interviews were conducted with the school's district instructional assistant superintendent, primary parents of students in the school, guidance counselor, librarian, instructional teaching assistants, instructional resource teacher, and the principal. The purpose of the interviews was to gain the interviewees' perspectives of what change characteristics were employed in implementing the primary program. All questions were structured in an informal conversational format. The initial interview question was, "How did your school begin to implement the primary program?" Probing questions were used, as needed, to assist the researcher in identifying the change process that the school went through to successfully implement the primary program. These questions specifically related to the primary program and the ten change characteristics.

Examples of probing questions include:

1. How did your school begin to implement developmentally appropriate practices?
2. How did your school provide teachers with the opportunity to team and collaborate?
3. How did your school create family involvement within the primary programs?
4. How did the teachers design qualitative reporting methods, continuous progress procedures, and authentic assessment?
5. How did your school develop multi-age/multi-ability grouping strategies?

Probing questions for the ten effective change characteristics include:

1. What **leadership** was provided throughout the initiation of implementation of the primary program?
2. What are the **vision** and the **goals** of the primary program and how were they developed?
3. What **training** was provided at the school in relation to the primary program?
4. What **support systems** were there in the school for implementing the primary program?
5. What types of **planning** were conducted for the implementation of the primary program and what kind of planning is presently being conducted for the implementation of the primary program?
6. What types of activities were used to **communicate** and **inform** those involved and affected by the implementation of the primary program?
7. What types of **teaming** and **collaboration** occurred in the school site?
8. What **barriers** occurred in the implementation of the primary program and how were these barriers addressed?

9. What opportunities were teachers given to **take risks** in implementing the primary program?

10. What types of **continuous evaluation** and **revision** of the primary program were conducted?

The interviews concluded with the researcher asking the interviewees for advice on how other teachers and/or administrators could successfully implement the primary program. The researcher interviewed 12 of the school's primary teachers, five parents of students in primary classrooms, the school's district instructional assistant superintendent, guidance counselor, librarian, three instructional teaching assistants, instructional resource teacher, and the principal. Parents were selected based on several teacher's recommendations.

In addition, the principal provided the researcher with an additional interviewee's name who had direct involvement with primary program implementation. This person was the director of the Central Kentucky Education Cooperative (CKEC), who had held primary meetings in the region related to primary program implementation. Overall, there were a total of 22 interviews conducted during phase two of the interview process.

Each interview was conducted individually within the school setting. The researcher recorded notes and tape recorded the interviewees' responses. All interviews were transcribed. At the conclusion of the interviews, the researcher revisited two interviewees, the instructional resource teacher and the principal, to ask additional questions and confirm their responses.

Observations

The researcher observed three primary classrooms to gain a contextual picture of the school's primary program. This contextual picture is used to describe how the school is presently implementing the primary program. Observations were managed with an instrument used in a previous primary study conducted by the University of Kentucky's Institute on Education Reform. The observation instrument enabled the researcher to observe the seven critical attributes of the primary program (See Appendix B).

At the completion of each observation, the researcher wrote a brief description of the classroom in four areas: learning environment, developmentally appropriate practices, assessment, and professional partnerships. All of these areas were related to the seven critical attributes of the primary program and were used in the description of the school's present primary context.

In addition to the formal observations, there were informal observations conducted throughout the study. These informal observations encompassed visiting primary classrooms, attending committee meetings, and initiating conversations throughout the school day. A notebook was kept at all times to record notes, information, and personal reflections. Questions or issues that needed to be addressed or discussed with the school's staff were recorded in this notebook.

Document Review

The researcher examined a total of 20 documents from the school related to primary program implementation. This review of the documents allowed the researcher to describe the elementary school's instructional program prior to the primary program mandate, describe the elementary school's present instructional program in relation to the primary program, and identify the change characteristics that were used to implement the primary program. The researcher gathered the documents from the primary teachers, instructional resource teacher and the principal. Additionally, the researcher made contacts and collected information from the director of the Central Kentucky Education Cooperative and the director of the University of Kentucky's Institute on Education Reform. The following is a list of the documents reviewed that were received from the school:

Document 1	**Instructional Resource Teacher's Portfolio #1.**
Document 2	**Instructional Resource Teacher's Portfolio #2.**
Document 3	**School Based Decision Making Council Meetings.**
Document 4	**Primary School Institute Professional Development Manual.**
Document 5	**Five Year Plan.**
Document 6	**Needs Assessment Survey from the Primary School Institute.**
Document 7	**Primary Action Plan.**
Document 8	**District's Annual Performance Reports.**
Document 9	**Primary School Staff Development Project.**
Document 10	**Supplements to the Primary Program Action Plan.**
Document 11	**District's Progress Report.**
Document 12	**Open House Brochure.**
Document 13	**Brochure on School's Primary Program.**

Document 14	**School Improvement Plan.**
Document 15	**Report Card of School Survey.**
Document 16	**Feedback Form Survey.**
Document 17	**Miscellaneous Resources from Instructional Resource Room.**
Document 18	**Primary Advisory Committee Report.**
Document 19	**Primary Advisory Committee Report.**
Document 20	**Primary School Targets (See Appendix C).**

Method of Data Organization

Documents and interview transcriptions were photo-copied, numerically numbered, and reviewed. During this review process the researcher highlighted and recorded notes related to the change characteristics. Next, the researcher re-read each document and interview transcription to begin a systematic method of categorizing the documents. This method consisted of categorizing the ten change characteristics that emerged during the study. Information acquired from the documents and interview transcriptions related to the change characteristics were recorded on separate documents (See Appendix D for Example).

Next, the researcher compiled data on the ten change characteristics into separate files. For example, all statements pertaining to vision were placed into one file. Also, the researcher's reflections on the change characteristics were written to the right of each change characteristic (See Appendix E for Example). Compiling the change characteristics into separate files assisted the researcher in organization of the data.

Journal

The researcher kept a personal written journal and a tape recorded journal to record notes, questions, and reflections throughout the study. Once the written and recorded journal was transcribed, the researcher reviewed and highlighted emerging patterns and themes from the journal. These patterns, as relevant, were used in the final analysis of the data.

Data Analysis

The researcher analyzed three data sources for this particular study: physical documents, interview transcriptions, and informal observations and discussions pertaining to primary classrooms and meetings. Physical documents were read and analyzed according to the ten change characteristics. The researcher recorded notes concerning each document and then compiled the notes into separate documents. Personal reflections about the information were written beside each area.

Once the interview transcriptions were completed, the researcher read and highlighted different areas that pertained to the ten change characteristics. Further, these interview transcriptions were placed into separate document files and personal reflections written beside each area.

Additionally, the researcher analyzed the reflective journal to look for themes and patterns that may have been overlooked in the data collection and analysis process. The researcher read and highlighted the reflections as they related to primary program implementation. Notes from the personal journal were used in the final chapter of this dissertation.

Procedural Steps

Step 1

At the beginning of the study, the researcher sent a letter to 18 educational leaders to assist in selecting the successful primary school. The question posed was, "Based upon the inclusion of the seven critical attributes of the primary program, what three schools would you identify in the Central Kentucky Education Cooperative as successful primary schools?" Information in the letter contained both the specific research question and the importance of the study for principals who would be implementing future primary programs (See Appendix F).

A total of 14 leaders responded to the survey. Based on the responses, a list was compiled of schools identified more than once. Final selection of the successful primary school was based on the school cited most often by the educational leaders. Two schools were comparatively ranked. However, one of the schools had changed from a kindergarten to second grade school to a kindergarten through fifth grade school in the 1993-94 school year. Because of the change in school structure, the researcher selected the school with a consistent kindergarten through third grade primary organization since the 1989-90 school year.

Step 2

Once the school site selection was finalized, the researcher conducted the appropriate procedures for beginning the study within the school district. This initial step involved contacting the assistant instructional superintendent to request permission for beginning the study within the school district. For final approval, the researcher had to provide the following in writing to the school district: purpose of study, research questions, and summary of the methodology.

Additionally, the assistant instructional superintendent recommended that the researcher contact the school's principal to solicit approval to conduct the study. The school's principal readily approved the study. Thus, the study was approved by both the assistant instructional superintendent and the school's principal.

Step 3

The researcher contacted the school's principal to schedule an initial interview. At the conclusion of the interview, the researcher requested from the principal, the names of three primary teachers who had made the most progress toward implementation of the primary program.

Step 4

Observations were scheduled with three of the school's primary teachers. These observations were based on the seven critical attributes of the primary program and how these areas were presently being implemented. The purpose of the observations was to confirm successful school status and assist the researcher with the description of the school's present instructional primary program.

Step 5

Next, the researcher interviewed the three primary teachers to gain information related to primary program implementation. These interviews also assisted with the contextual description of the primary program.

Step 6

After the first phase of interviews was completed, the researcher began phase two. These interviews were conducted with the principal, teachers, parents, instructional resource teacher, instructional teaching assistants, district assistant superintendent, and the Central Kentucky Education Cooperative Director. Interviewees responses were recorded and later transcribed.

Step 7

The researcher reviewed documents related to the primary program. The documents were copied, numbered, coded, categorized, and analyzed separately. This process took approximately two months to complete.

Step 8

At the conclusion of the data collection process, the researcher began to code the data by prevalent change characteristics. Once the coding had been completed and interviews revisited, the researcher began the final analysis of the data.

The data collection process lasted for four months. At the end of these four months, the researcher began the final analysis and summary of the data. However, the researcher found it necessary to contact the principal and instructional resource teacher to ask additional questions to clarify dates and interview responses.

CHAPTER IV

PRESENTATION AND DISCUSSION OF FINDINGS

The purpose of this study was to describe how ten change characteristics identified in the review of literature were employed in one school's successful implementation of the primary program. In order to provide a description of the context in which the change effort occurred the researcher conducted interviews, document reviews, and observations to answer two preliminary research questions:

> What was the school's instructional program like in relation to the seven critical attributes of the primary program before the Kentucky Education Reform Act (KERA) mandate?
>
> What is the school's present instructional program like in relation to the seven critical attributes of the primary program?

For the purpose of this presentation and discussion of findings, the researcher will refer to the school as Rainbow Elementary, the principal as David, the instructional research teacher as Sarah, and the district assistant instructional superintendent as Karen.

The first preliminary question was addressed by analyzing documents which provided the researcher with a representation of the school. Documents reviewed include: (a) instructional resource teacher's portfolio; (b) School Based Decision Making (SBDM) Council meeting minutes; (c) district's performance reports; (d) principal interview transcriptions; and (e) teacher interview transcriptions.

The second question was addressed by synthesizing information acquired from the three primary classrooms observed and the primary teachers interviewed. A summary statement of each primary classroom observed and primary teacher interviewed was prepared after each classroom observation. Additional information acquired from physical documents was also used in the description of the school's present instructional program context.

Findings

What was the school's instructional program like in relation to the seven critical attributes of the primary program before the KERA mandate?

Rainbow Elementary began primary program implementation several years prior to the 1990 KERA mandate. A major document that contributed to the school's description prior to implementation was a narrative report of the school completed for the Primary Institute in 1990-91. The narrative states:

> "Rainbow, Where Kids Come First," has been the motto since the school opened in 1987. That simple slogan reflects a holistic view of educating all children that has been moving us toward achieving the student outcomes now mandated by Kentucky's Education Reform. Whole language, cooperative learning, process writing, multi-sensory math, science, and social studies approaches, and other strategies have been implemented with all 680 students over the past four years to help us challenge our diverse student population so that all our children, from those with multiple handicaps to the intellectually gifted, can learn and grow together. In addition, this shift to a more child-centered balance between direct instruction and active participation allows us to more effectively involve our parents and community in our school. As previously has been indicated, we have previously implemented several of the critical attributes which identify a primary school. To this point, we have concentrated on the use of developmentally appropriate practices, professional teamwork, and on increasing parent involvement both in classrooms and in the school. These areas have guided our educational program" (Document 6).

Beginning in 1987, the narrative states that Rainbow's teachers implemented three of the seven critical attributes: developmentally appropriate practices, positive parent involvement, and professional teamwork. The principal and several teachers confirmed the narrative report by stating that many of the primary program's critical attributes were implemented before the primary program mandate (Interview 1, 12, 18, & 23).

More specifically, teachers described developmentally appropriate practices that were being implemented in the classrooms. These practices were implemented with all 680 students since the 1987 school year and include whole language, cooperative learning, process writing, multi-sensory math, science and social studies approaches, and other strategies.

One teacher commented that the reason for an early implementation of the primary program was that the teachers were unhappy with their teaching strategies. Therefore, several teachers began looking at new ways and strategies to teach children. This teacher stated "In 1989, many of us were concerned about how students were being organized, because some students were in groups working on reading skills; whereas, other students were at their seats working on dittos" (Interview 6). This teacher believed that these types of observations guided Rainbow's principal and teachers to search for more "age-appropriate" teaching methods for students.

The initial change process began two years before the 1990 primary program mandate. Two teachers in the school decided to begin teaching thematic units to meet the needs of students with varying ability levels. By the end of that school year, other teachers had observed the success of their peers and also decided to adopt the thematic unit teaching approach. The following school year, these two teachers asked parents if they could keep their children in the same classroom for an additional school year. The parents agreed unanimously. Teachers felt that because parents were satisfied with the thematic teaching approach that parents wanted their children in the same kind of program for the next school year. Additionally, at the time of thematic unit implementation, teachers in lower grades had begun to experiment with new teaching strategies such as shared reading experiences with big books and "hands-on" materials for active learning experiences.

Several years prior to the mandate the teachers began to gradually implement multi-age/multi-ability classrooms. One teacher stated "When the Kentucky Education Reform Act (KERA) was first discussed we knew we would have to have multi-age classrooms, so we started having K-1's for thirty minutes a day for three days a week" (Interview 22). Furthermore, another teacher commented that before 1990 most teachers had no real concept of what multi-age classrooms were about; therefore, they had some difficulty defining what to do with it (Interview 9). However, presently this teacher feels that primary teachers understand multi-age classrooms because of the experimentation with this attribute.

Rainbow's teachers implemented professional teamwork in three ways: (a) common planning time; (b) before and after school planning; and (c) informal conversations throughout the school day. One teacher indicated that teachers at Rainbow had always been willing to share ideas and materials. She stated "No one teacher has tried to work for the "teacher of the year" award at Rainbow Elementary" (Interview 14).

Parent involvement was described in the narrative as being an integral part of the school. Teachers commented that parents had always been welcome to visit the school and classrooms through formal and informal conferences, workshops, and meetings.

Rainbow's Parent Teacher Organization (PTO) contributed to the classrooms by raising money to purchase materials related to primary instruction.

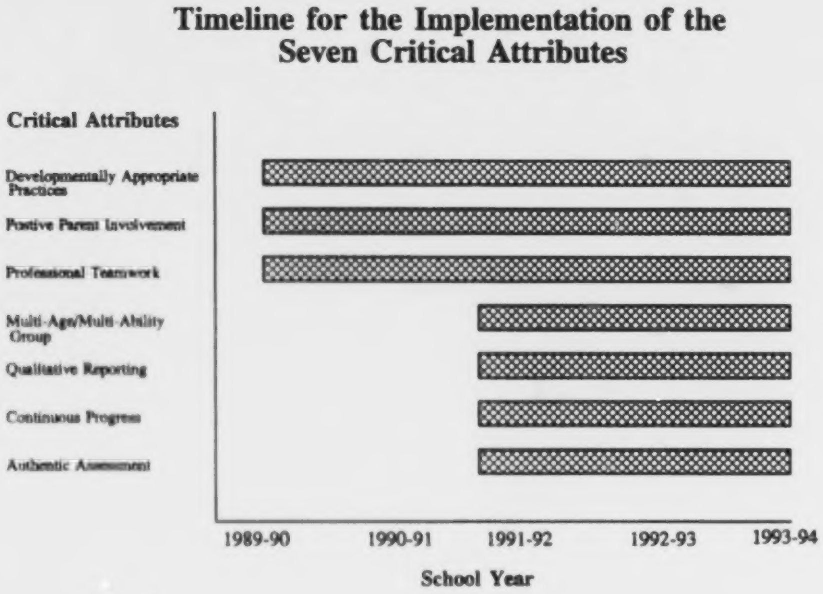

Figure 4. Timeline of Implementation of the Seven Critical Attributes

The timeline in Figure 4 summarizes the implementation of the seven critical attributes at Rainbow Elementary. Three critical attributes, developmentally appropriate practices, parent involvement, and professional teamwork were an integral part of the school in the 1989-90 school year; whereas, multi-age/multi-ability grouping, authentic assessment, qualitative reporting, and continuous progress began later in the 1991-92 school year. Although a few teachers began experimenting with multi-age classrooms for 30 minutes three times a week, this attribute was not fully implemented until the 1991-92 school year. The reason for not fully implementing this attribute was that teachers wanted

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to experiment and learn more about multi-age classrooms. The teachers felt that acquiring additional information would assist them in making the appropriate decisions for classroom instruction.

There was evidence throughout the interviews that the teachers were open and willing to try new approaches to teaching. One teacher alludes to this openness and stated, "During the beginning stages of the change process, I tried to build on my experience, collaborate with other teachers, and never give up" (Interview 19). Overall, Rainbow's classrooms were child-centered with a balance between direct instruction and active participation. Before 1990, Rainbow's teachers had taken the initial steps of gathering information about each attribute and beginning the implementation process in the classrooms.

What is the school's present instructional program like in relation to the seven critical attributes of the primary program?

Based on observations, interviews, and document reviews, Rainbow appears to be currently implementing all seven critical attributes of the primary program. To describe the school's present instructional program in detail, the findings are grouped into four categories: learning environment, developmentally appropriate practices, assessment, and educational partnerships (See Appendix B). These four categories encompass the seven critical attributes.

Learning Environment

Observations revealed that teachers had created flexible learning environments for students with multiple areas arranged to accommodate large group, small group, and individual work. There were developmentally appropriate manipulatives, numerous books and magazines, and state of the art technology in the primary classrooms. In addition, the classrooms and hallways displayed students' work from class projects based on broad-based themes and units. However, most of the items displayed in the classrooms were teacher made or commercially generated.

Additionally, there were a variety of learning centers including science, art, reading, writing, computer, and listening. One teacher had designed a center that permitted students to record personal stories and poems. Most of the learning centers were child-centered and exploratory in nature. However, a few of the learning centers were teacher-directed and task-oriented.

Observations and interviews revealed a social-emotional climate that allowed Rainbow's students' to feel safe and secure. This climate offered students an opportunity to communicate frequently with teachers and peers. Students were engaged in activities that permitted free movement, student interaction, and active exploration. Teachers continually interacted with students in a positive way throughout the school day. This positive environment was described by one teacher "Children may not remember what you say, but they will always remember how you made them feel" (Interview 13).

Further observations showed that student movement and classroom discussions were primarily teacher directed. However, students freely responded to questions which were initiated by the teacher. Overall, teachers at Rainbow were providing students with opportunities to interact and explore in a safe and positive learning environment.

Developmentally Appropriate Practices

For the purpose of discussion, developmentally appropriate practices are grouped into three subcategories; integrated instructional practices, flexible grouping, and varied instructional strategies. Teachers integrated curriculum in different ways; however, several the teachers observed were using broad-based themes to assist in students' learning activities. Also, teachers who were observed provided students with many meaning centered writing experiences. Furthermore, teachers integrated language arts through whole-language, literature based instruction, paired reading, sustained silent reading, and Success in Reading and Writing.

Additionally, students were given opportunities to write across the curriculum through daily writing and math journals. One example of integrated writing was a big book prepared by the students on whales containing students' questions and responses with both text and illustrations and on a range of subject areas.

At times during the observations, math was integrated during discussions and reflections. However, math instruction was predominantly skill based. Teachers taught math through Box It, Bag It activities and Miquon Manipulative Math. Several teachers indicated that math is an area that needs to be re-evaluated and revised. For the most part, social studies and science were taught as separate subjects in the afternoons. Teachers indicated that when they can, social studies and science are integrated into language arts and writing.

Overall, teachers had fixed schedules with large blocks of time for instruction. Multiple resources were used for instruction in all areas. Teachers indicated that single textbooks are not used for any one subject. Classrooms were well-equipped with manipulatives for all ages, subjects, and skill levels. Rainbow's instructional program appeared to be moving toward a more integrated curriculum with a focus on broad-based themes. Students' interests, experiences, and prior knowledge were used as the basis for learning.

Flexible groups were observed in all classrooms. Students were frequently grouped and re-grouped in large and small groups based on their interests, skills, and abilities. There was evidence of a balance of instructional delivery including direct instruction, cooperative learning, and independent learning. Most of the activities observed were teacher initiated. There was evidence that a few learning activities were student initiated.

Assessment

At Rainbow Elementary the attributes qualitative reporting, authentic assessment, and continuous progress are employed in a variety of ways. The issue of assessment is an ongoing evaluation and revision process. For example, in the 1992-93 school year, teachers were not pleased with the progress report. Teachers felt that they could not communicate to parents where their child was in comparison to an absolute learning standard. Thus, teachers developed a rubric system in writing in order to assess students to an absolute learning standard. This rubric system assists teachers in making sure students met their individual learning goals.

Additionally, there was evidence that Rainbow's teachers record student progress through ongoing and qualitative assessment methods. Several authentic assessment strategies are used throughout the school year. For example, some teachers record anecdotal notes of students during activity time while others record anecdotal notes during a structured one-on-one reading time.

Students were engaged in meaningful and authentic assessment tasks that were embedded in instruction and include portfolio items, performance based events, and open-ended responses. Regarding parent involvement in the assessment process, teachers stated that conferences are held continually throughout the school year. Parents are encouraged to visit the classroom to observe their child's progress and are involved in the assessment process through informal notes and formal report cards. Continuous progress is maintained through student's portfolios. These portfolios contain different pieces of the student's work and are passed on from year to year. Students are given the opportunity to evaluate their own work by self-reflection and editing. For example, in several portfolios students are asked to reflect on what they have learned and what their future goals are based on their learning experiences.

Through these authentic assessment strategies, Rainbow is improving its assessment scores in relation to the Kentucky Instructional Results Information System (KIRIS). KIRIS assessment results play an integral part of Rainbow's evaluation and revision process. For example, Document 12 states that Rainbow's goal set by the district's board of education is to reduce the number of students performing at the novice level in portfolios by 50% by the 1994 school year. This goal was met by scores moving from 36% to 16% novice, from 50% to 60% apprentice, and from 14% to 22% proficient. The distinguished category remained the same at 1%. Based on these assessment results, Rainbow is projected to receive rewards from the Kentucky Department of Education. Overall, Rainbow's staff is sensitive to assessment results and the need to align the curriculum based on students' needs and to the assessment process.

Educational Partnerships

The term educational partnerships corresponds to the critical attributes, parent involvement, and professional teamwork. At Rainbow, parents are involved in workshops and learning experiences to assist them in understanding the new primary program concepts. Teachers continually keep parents informed through newsletters, telephone calls, informal conversations, and formal conferences. However, interviews revealed that most parent involvement activities remain very traditional and limited to clerical work, homeroom mother duties, and volunteer tutoring.

Observations and interviews indicated that teachers along with support staff and parents work collaboratively with one another in order to provide a quality primary program. Collaboration was facilitated by both formal and informal meetings with the instructional resource teacher, the principal, regular primary teachers, assistants, parents, special area teachers, and district staff. Although team structures vary from teacher to teacher, several teachers commented that collaboration and teamwork occur at every level in the building.

In summary, Rainbow's primary program is continually evolving and changing. Primary classrooms are very different from room to room and every primary teacher has her own method of implementing the critical attributes. Overall, there was evidence that Rainbow's teachers are fully implementing the seven critical attributes.

Findings on the Change Characteristics

The main research question addressed in this study is:

What effective change characteristics were employed by the school when implementing the successful primary program?

Analysis of the main research question involved organizing physical documents, observation notes, personal journal reflections, and interview transcriptions that were coded and categorized. Both physical documents and interview transcriptions were reviewed and categorized by the ten change characteristics and numerically ranked. Each document or interview transcription was titled Document # or Interview # (See Appendix G for Document & Interview Listing).

Analyses of the ten change characteristics is discussed separately in the following paragraphs. Presentation of the analyses are through a synthesis of both a review of the physical documents and interview transcriptions. There were a total of 43 documents reviewed and analyzed.

Collaborative Leadership

Figure 5 depicts teachers, the instructional resource teacher, and the principal as collaborative leaders in the change process. The predominant change characteristic discovered in the change literature was effective leadership. Although the findings support the literature on leadership, the researcher found that the teachers, the instructional resource teacher, and the principal worked cooperatively to develop a collaborative leadership framework. Most of the research on leaders focus primarily on one leader in the school which is usually the principal. However, in this study collaborative leadership was the most important change characteristic discovered during the investigation.

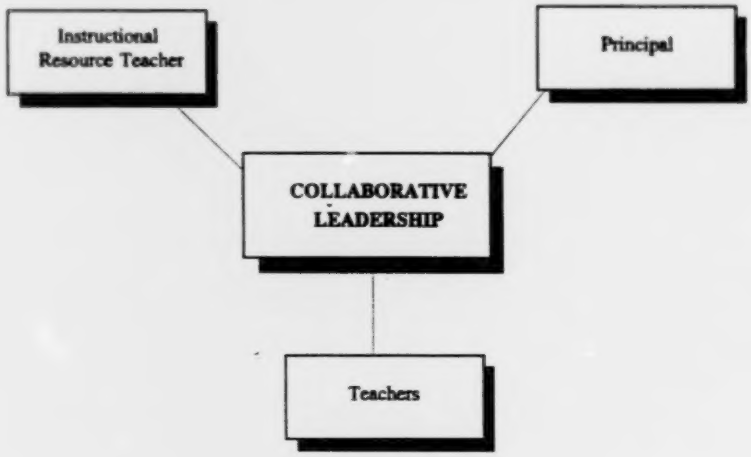

Figure 5. Collaborative Leadership Web

Rainbow Elementary has the type of leadership necessary for making change effective and successful. Because this leadership characteristic has played a significant role, Rainbow has become successful in implementing the primary program. Although there was district leadership in the implementation of the primary program, leadership predominantly came from the school itself. As shown in Figure 5, three common leadership patterns emerged that contributed to the collaborative leadership framework. These three patterns include: the principal as a leader, the instructional resource teacher as a leader, and the teachers as leaders.

The leader that had the most effect on the school was David, the principal. David possessed leadership qualities such as the ability to motivate people and assist in removing barriers which enabled him to successfully guide the implementation of the primary program. Several theorists concur that the leader in the school must possess the ability to cohesively merge all the other change characteristics together (Badaracco & Ellsworth, 1989; Mitchell & Tucker, 1992; Sergiovanni, 1992; Schlechty, 1991; Walton, 1986). Without a leader who can remove barriers, motivate people, identify strategies for goal attainment, and actively involve themselves in a positive way, then implementation of new programs can be unsuccessful.

Teachers, parents, primary teaching assistants, and the assistant superintendent repeatedly discussed David's leadership qualities. Several teachers stated that David was innovative, positive, and supportive to them along with being directly involved in the classroom by regular visits to work with students and to provide teachers with feedback. Several teachers felt that he was a visionary which permitted them to prepare for the changes before the changes were mandated (Interview 8, 9, & 10). During one of the researcher's visits, David was in the hallway listening to a child read a story from his portfolio piece.

Further, David gave teachers articles and books to read related to the primary program's critical attributes. He constantly gave teachers opportunities to be exposed to other primary classrooms by allowing them to visit primary classrooms within and outside the state of Kentucky. Within the primary classroom, he allows teachers flexibility and individuality. One teacher commented that David gave her the chance to bring her own characteristics and personality into the primary classroom.

David's involvement in primary program implementation is not limited to the school site. The principal actively participated in district and state wide committees related to primary program implementation. At the state level, he was the chairperson for the state primary advisory committee that met in the beginning stages of the primary program development. During these meetings, he assisted in analyzing primary program research, helped create the seven critical attributes of the primary program, designed a primary program document to assist teachers in communicating student progress and expectations to parents, and assisted in developing the components of the primary action plan. At the district level, he shared what Rainbow had produced in different areas such as the assessment rubric and primary progress report. The assistant superintendent stated David's involvement at the state level helped Rainbow to move ahead of other schools in implementing the primary program.

David's interview revealed seven strategies for a leader to employ when executing change. First, he stated that change needs to be planned so that your support systems can keep up with the change. He found that keeping up with the change is extremely challenging and a hard thing to predict. Also, he stated that people develop at different rates and that leaders should analyze where people are and take them to the next step in their learning process, even if this step is different than the person next to them. Similarly, he felt that training should not be the same for every teacher but should be based on each teacher's level and need (Interview 1).

Further, David stated that the principal must be involved in the instructional process and know what is going on in the classrooms. Observations revealed that David visited classrooms regularly. He listened to students read and assisted teachers with scoring writing portfolios. David stated that change is complex and requires a great deal of monitoring by staying on top of all areas. He commented that it is hard to start a new program because of justifying new program and answering questions of parents and teachers. Overall, David felt that Rainbow presently has fewer questions and concerns because the school is further along in the implementation process. Finally, David believes that the principal must maintain high expectations and a high level of support to the staff (Interview 1).

Another quality of an effective leader is to improve professionally on a continual basis. David is an excellent example of a reflective, life-long learner intent on improving his effectiveness as a leader. In the school year 1993-94, David sent an inventory to teachers, assistants, and parents to assist him in improving his leadership skills, to help identify the staff's and parents' needs, and to identify the needs of the school. An example of a leadership question on the inventory was, "The principal listens to, considers, and when possible supports my ideas and/or project" (Document 15). Respondents were asked to circle whether they strongly agreed, agreed, somewhat agreed, disagreed, or were not sure.

In regard to leadership, empowerment and decision making are change characteristics that are necessary during the change process (Conley, 1993; Covey, 1991; Schlechty, 1990). This concept empowers teachers to make decisions pertaining to new programs and freely try new teaching approaches. Once again, Rainbow's staff was given the opportunity by the principal to be involved in all aspects of the decision making processes related to the primary program. These decisions were made through teachers' participation on a variety of committees (Document 1, 2, 3, 5, 7, 9, & 14).

The school's principal encouraged all staff members to be involved and make the decisions. David continually guided the staff and offered suggestions related to the decisions being made. Teachers stated that David never forced his personal opinions or perceptions on them. From the beginning, Rainbow's staff and parents were encouraged to be involved in the decision making process of the primary program (Interview 1).

The second predominant leader in the school was Sarah, the instructional resource teacher. Her job description was to help with the implementation of the primary program. From the observations and documents analyzed, part of the success of Rainbow's primary program can be attributed to Sarah's dedication and thoroughness. Several teachers mentioned that David is the innovator but Sarah is the organizer and the person who discovers ways to make the visions and goals a reality. At the beginning of the primary program, one of Sarah's main roles was to help teachers prepare for the primary program and to help parents understand how learning would be different in their child's classroom.

Sarah provided teachers and parents with information through workshops, small group meetings, and one-on-one consultations. One of her largest contributions to the primary program was the creation of a resource room for parents and teachers. This resource room contained books, brochures, articles, and videos relating to the primary program. These items were available for loan to those who visited the resource room.

Presently, she creates and provides information for visitors, exhibits and makes presentation about the success of Rainbow's primary program, trains teachers, participates on committees, contacts university professors for support and assistance, develops whole language manuals, plus much more.

In addition to the principal and instructional resource teacher serving as leaders in the school there were several teachers who emerged as leaders during the implementation process. David enabled all teachers to take risks and initiate new ideas. Several of the teachers have become leaders by writing grants, training teachers in other schools, and serving as model primary teachers. Most of the primary teachers have taken the initiative to try and experiment with new methods of teaching. Overall, several teachers serve as role models within and outside the school district.

Overall, Rainbow Elementary has three main leaders (principal, instructional resource teacher, and several teachers) that continually collaborate and work toward a successful primary program. David's clear focus and ability to allow for differences in the classroom provide the school with an environment that is productive and creative. Although David is the primary leader, the school could not have reached its success without the instructional resource teacher. Sarah has brought the school organization, clarity, and knowledge of the primary program. Teachers in the school were constantly striving and making efforts to provide the best environment possible for children and several teachers became leaders within the school, the district, and the state. Thus, all three leaders worked together toward the common goal of having the best primary program possible for students at Rainbow.

Change Characteristic: Training

Professional development training was an important part of the success of the primary program. Training was provided to the staff, the principal, and parents on various topics related to the seven critical attributes of the primary program. Figure 6 displays these three groups of people.

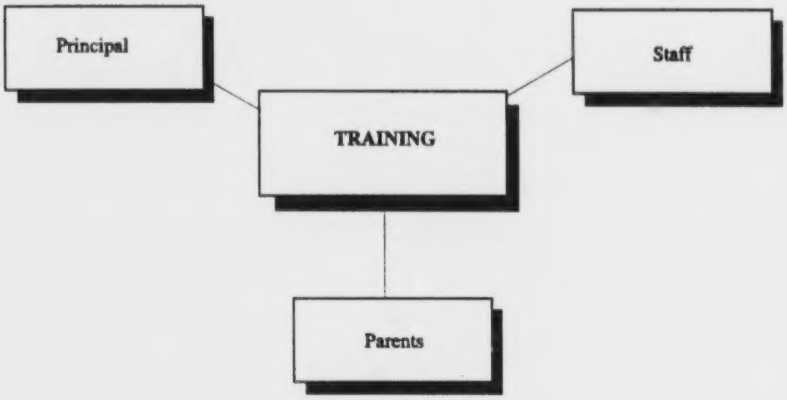

Figure 6. Training Web

The importance of training is supported by the review of literature on change which indicates the need for schools that are implementing new programs to provide and administer staff development and training to those affected by the change process (Anderson, 1993; Barclay & Boone, 1993; Berman & McLaughlin, 1977; Purnell & Hill, 1992; Schlechty, 1991; Senge, 1990). There is extensive evidence that Rainbow

Elementary School incorporates these theorists' ideas about providing training to assist in implementing the primary program.

One of the first relevant findings from the review of documents was that training sessions were held prior to the mandate of the primary program on the topics of cooperative learning, thematic units, and whole-language. After the mandate of the primary program both primary teachers and primary assistants were included in training sessions relevant to the primary program's critical attributes.

In order to find out what kind of primary training occurred in the school, the researcher asked the principal and primary teachers, "What training was provided at the school in relation to the primary program?" The principal responded by stating that the first professional development sessions for teachers focused on thematic units and whole-language instruction. These two training sessions correspond to the critical attribute, developmentally appropriate practices.

Another important finding was that in the beginning stages of implementing the primary program, the school initiated the philosophy that teachers serve as the experts and provide the staff with "in-house" training. This idea involved one or two teachers attending training sessions and then returning to the school to share the information acquired during the sessions.

The principal believed that having "in house" trainers would assist teachers more than bringing in an expert to train the entire staff. Therefore, many primary teachers were given the opportunity to train outside the school on various topics, and then these teachers would share their new primary program knowledge with all staff members. This type of "in house" training allowed researchers to continually assist teachers. The principal stated, "The greater the time between implementation and training there is the less impact it will have on change" (Interview 1). Furthermore, David commented that his staff looked at professional development on a individualized level with a focus on more small group staff development that is continuous and a constant recurring phenomenon. This individuality occurred through teachers selecting professional development training based on their areas of need.

The district's instructional assistant superintendent stated that there was extensive training in all aspects of the primary program: Box-It, Bag-It, Opening Eyes, Success, whole-language, and Aces. Furthermore, she commented that district staff communicated with teachers to find out where they were in the implementation process. This philosophy coincides with Rainbow Elementary School's philosophy. The district has designed three separate training levels: (1) All teachers involved in training where the entire school need to learn this process. (2) Individualized training for teachers. and (3) Training to develop teachers as trainers in order to work with teachers in the school building (Interview 3).

Another interesting training opportunity for the primary teachers at Rainbow Elementary School was a proposal to integrate University of Kentucky education students to assist in the primary classroom. These university students were trained by Rainbow teachers in exchange for on-going training and assistance from University of Kentucky professors. Training areas that were provided by the university professors were associated with various aspects of the primary program's critical attributes. For example, one professor trained primary teachers on how to record and organize information on each student's progress over time; another professor assisted primary teachers with whole-language techniques. This area directly relates to three of the critical attributes: qualitative reporting methods, authentic assessment, and continuous progress.

One teacher commented that "we anticipated the change, so we had lots of staff development and classes to help. We had University of Kentucky professors come in and help us learn some new strategies we were going to have to implement" (Interview 18). This teacher continued by saying, "We felt that this training helped the primary teachers to get a little ahead of the game, before we were under the gun" (Interview 18).

Sarah the school's instructional resource teacher stated that in addition to training teachers, parents were also trained on the primary program's critical attributes. For example, parents were, and still are, trained by workshops titled, "Primary Program Workshops." These workshops are designed to inform and involve parents in the primary program. One workshop provided parents with handouts along with a slide presentation explaining developmentally appropriate teaching strategies and how these strategies allow for continuous progress of multi-age groups. Several of the workshops were designed so that both the child and parent were actively involved in a lesson. This hands-on training approach allowed parents to see and understand how their child's learning would be different.

Essentially, parent workshops were facilitated from the beginning stages of the primary program to the present and had two major purposes. The first purpose was to inform parents of the new primary program's critical attributes and the second purpose was to help parents develop skills to assist them in working with their children at home.

The principal was also involved in training for the primary program by participating in his teachers' training as well as leadership training. David commented that he attended training inside the state as well as outside the state. He decided on his own training by analyzing which areas were his weakest. In the beginning, he attended training at Ohio State conducted by professors from New Zealand on whole-language techniques and training by cooperative learning experts, Johnson and Johnson, on cooperative learning strategies. In addition to training, David visited other schools in other states to look at how they are implementing school-wide change.

Another part of the training process was the opportunity for teachers to observe in schools that were implementing similar programs. Several Rainbow teachers stated they visited and observed many primary programs within and outside the state. The goal of the observations was to give teachers an opportunity to examine schools that were implementing the primary program philosophy. The teachers indicated that observing other primary programs helped them to comprehend what the primary program was all about. One private school was especially helpful in that the teachers and the principal took time to respond to questions asked by Rainbow's teachers (Interview 1 & 13).

However, after the first year of visiting schools, several teachers felt that they had developed an understanding of the primary program. Rainbow had already created their own vision and concept of the primary program. One teacher said that while observing one school she felt that Rainbow was doing all the things that she observed, plus more (Interview 9). Additionally, numerous teachers stated that after the first year of observations, many schools could no longer provide the answers that were needed

(Interview 2, 9, & 13). Therefore, the teachers tried to solve the problems by relying on their own school's staff.

The primary person responsible for these observations was the school's principal, David. In the beginning stages of primary implementation, David gave teachers several opportunities to visit other schools. He provided teachers with substitutes in their classrooms so that they could travel to the other school sites. These observations allowed David's teachers to actually see for themselves what other programs looked like so that they could form their own primary program vision (Interview 2).

The staff cultivated insights and concepts from the classroom observations. These classroom observations inevitably assisted Rainbow's staff in developing their own primary program. Furthermore, the observations gave teachers new teaching ideas about different areas related to the seven critical attributes of the primary program. Overall, Rainbow Elementary teachers were trained properly from the beginning stages of primary program implementation. Rainbow School's philosophy is similar to Senge's (1990) idea that schools need to transform themselves into learning organizations where the staff develops both personally and professionally. Teachers, parents, and assistants were given many opportunities to learn about the new program being implemented. There was indication that the teachers in the school were allowed to decide their needs in the area of professional development as well as maintain their individuality in the classroom.

Change Characteristic: Risk-Taking

Figure 7, shows the risk-taking web and the people who were part of this process along with the integration of the school's belief statement. The researcher found that this change characteristic had a major influence on the school's success in primary program implementation. The school's principal provided the staff with opportunities to take risks throughout the school year. Additionally, the staff provided the students with the same kind of risk-taking opportunities.

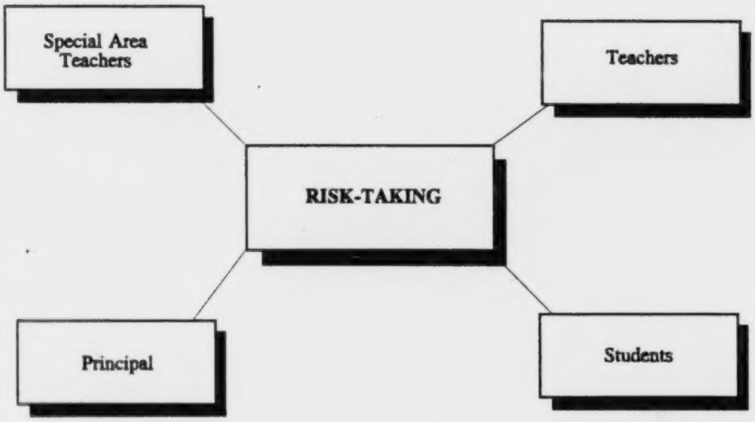

Figure 7. Risk-Taking Web

Theorists concur with this finding and insist that risk-taking and experimentation be encouraged for those who are implementing new programs (Fullan & Miles, 1992; Hord et al., 1987; Schlechty, 1991; Senge, 1990). A school's environment should allow its staff to feel at ease when trying to implement new approaches. In other words, learning should be without fear of failure, reprisals, or ridicule (Sarason, 1993).

Teachers indicated that the principal promotes risk-taking within the school's environment. David comments, "My teachers are used to a lot of freedom and they're used to being able to try new methods, take risks, and do things" (Interview 1). One teacher discussed how David likes to hire teachers who are risk takers (Interview 13).

Another teacher stated that there has been a great deal of trial and error time when implementing the primary program. This teacher stated "A long time ago I told David that I would like not to use the reading workbooks; he said to just make sure the students know what they need to know and teach anyway you want, as long as when the students are finished they can do what they need to be able to do!" (Interview 18). This teacher concluded that Rainbow's teachers had "been under this kind of risk-taking influence for a long time" (Interview 18).

Overall, the teachers at Rainbow feel comfortable trying new approaches because their failures are not met with rejection and opposition. This philosophy of taking risks is also seen in the students' approach to learning. Rainbow's primary program brochure states this concept under the advantages section and states: There is a belief that children should be given the opportunity to take risks (Document 13). Additionally, the brochure emphasizes that children have the time and opportunity to take appropriate risks, and explore and investigate their world. This reciprocity between the staff and students provides a risk-taking environment.

Change Characteristic: Teaming and Collaboration

The presence of teamwork and collaboration was another major finding from the study. Figure 8 shows that teamwork and collaboration occurred among teachers, parents, instructional resource teachers, special area teachers, and principal within the school and school district. This change characteristic was an ongoing process at Rainbow.

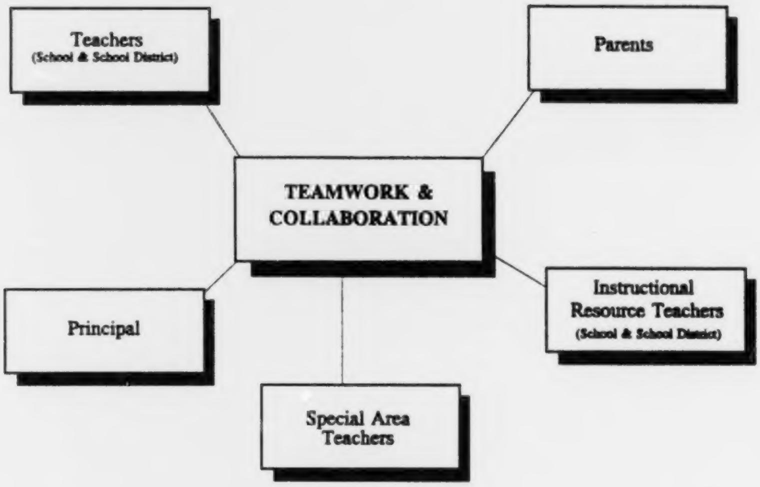
Teachers
(School & School District)
Parents
TEAMWORK & COLLABORATION
Principal
Instructional Resource Teachers
(School & School District)
Special Area Teachers

Figure 8. Teamwork & Collaboration Web

Several theorists agree with the change characteristic of teamwork and collaboration. They state that teamwork and collaboration need to be an integral part of a school that is implementing diverse changes (Conley, 1993; Covey, 1993; Elmore, 1991; Hord et al, 1987; Purnell & Hill, 1992).

Once again, Rainbow has met this change criteria by providing parents, teachers, and school leaders with opportunities to team and collaborate. An interwoven pattern of teaming and collaboration emerged among the people directly affected by the change process: teachers, students, parents, principal, and instructional resource teacher. Every goal, action plan, and objective of the primary program had input from a variety of sources.

The leaders in the school, the principal and the instructional resource teacher, met with other principals and resource teachers on a monthly basis. During these meetings, there was collaboration among all the districts' principals and instructional resource teachers by sharing and discussing information related to the primary program. This district collaborative philosophy on "how can we make the primary program best for all Kanawha (pseudonym) County students?" was incorporated into every meeting (Interview 3). There was extensive evidence that ideas were shared and materials exchanged during the resource teachers' meetings. For example, upcoming professional development seminars at each school were discussed so that other teachers in other schools could participate and also teachers shared successful ideas in areas that were working well for their schools.

The instructional resource teacher's portfolio contained a record of information and events that took place in the school during primary implementation. This portfolio indicated that Sarah spent a large amount of time teaming and working with parents, teachers, and other resource teachers in the district. Many times she would meet with teachers to assist them with different areas of the primary program or meet with the principal to discuss the needs of the primary teachers (Document 1 & 2).

Although the teachers are an integral part of developing a collaborative school, it is also important to have a principal who can project and implement these collaborative ideas. Theorists contend that as a leader the principal can have an influence on teaming and collaboration within the school building (Covey, 1993; Senge, 1990). Smith and Scott (1990), in their discussion of collaborative schools, state the principal should incorporate a number of strategies, including advising teachers on their practice of teaching, running interference for teachers who desire to interact with one another, building collaborative processes into existing school structures, and modeling effective procedures of classroom observation and teacher evaluation.

Rainbow's principal provided an environment where teachers felt at ease to team and collaborate. For example, teachers were given common planing time during the school day to meet with other teachers to discuss their primary programs. The principal's philosophy on this process is that "Teachers in this school work together and analytically think about what they are doing and use part of their job as evaluating their programs" (Interview 1).

Teacher individuality was encouraged at Rainbow; therefore, there were no preset team structures. However, at one time family structures were attempted at Rainbow (Document 13). One teacher commented on the primary family structures "In the beginning, the idea of families was for the students to go on up to the next teacher; however, because of numbers it did not work" (Interview 20).

Regardless of the lack of structured teams, there is still constant teaming and collaboration among the staff. Teaming and collaboration occurs with regular teachers as well as with Chapter I teachers and special area teachers. It appeared that teachers at Rainbow were very open and willing to help one another during the implementation process. One teacher said that she feels extremely comfortable asking other teachers who are outside her primary age levels for assistance. She added "Everyone comes together to share ideas. Many teachers share things by placing in our mailboxes ideas that they find might be helpful to others" (Interview 18).

Smith and Scott cite Little (1982) in listing prevalent elements of collaborative schools: a) Teachers engage in frequent, continuous, and increasingly concrete and precise talk about teaching practice; b) Teachers plan, design, research, evaluate, and prepare teaching materials together; c) Teachers teach each other the practices of teaching (1990, p. 3).

Collaboration has been an integral part of the school prior to the mandate of the primary program. This was found in the school's narrative report in 1990-91 and declares:

> Because the new primary techniques stress active student involvement and the development of products they create opportunities for effective collaborative teaching. These collaborations make possible inclusion of children with special needs in regular classrooms and in the mainstream of school life (Document 6).

In 1990-91, the school's principal had scheduled regular planning periods, teacher meetings, and on occasion half-day substitutes to facilitate program planning, information and the sharing of materials. The school was also a Kentucky Systems Change model site where collaborative teaching models were implemented to assist in the inclusion of special needs students. The Kentucky Systems Change Project is a program that provides professional development training on the inclusion of regular education and special education students in the regular education classroom, encourages teamwork and collaboration among regular education teachers and special education teachers, and gives support through on-site consultation to teachers.

Overall, Rainbow provided its staff with a variety of opportunities to team and collaborate through both informal and formal meetings. Teachers in the school felt at ease to ask others for their opinions and suggestions. Both the principal and instructional resource teacher met with others in the school district to discuss their successes and failures and plan on how they could make the primary program better for all students in the school district. This cooperative approach allowed Rainbow to develop a quality primary program that was representative of all staff in the school building.

Change Characteristic: Communication and Information

Figure 9 illustrates the change characteristic of communication and information. All areas shown on the web contributed or were a part of the communication and information system for primary program implementation. This finding agrees with the research which states that during the change process, if those people who are directly affected by the new program are properly informed, then fears and resistance to change can be reduced. Providing an appropriate amount of communication and information can allow those affected to be more receptive of the changes being made (Belasco, 1990; Covey, 1993; Schlechty, 1992).

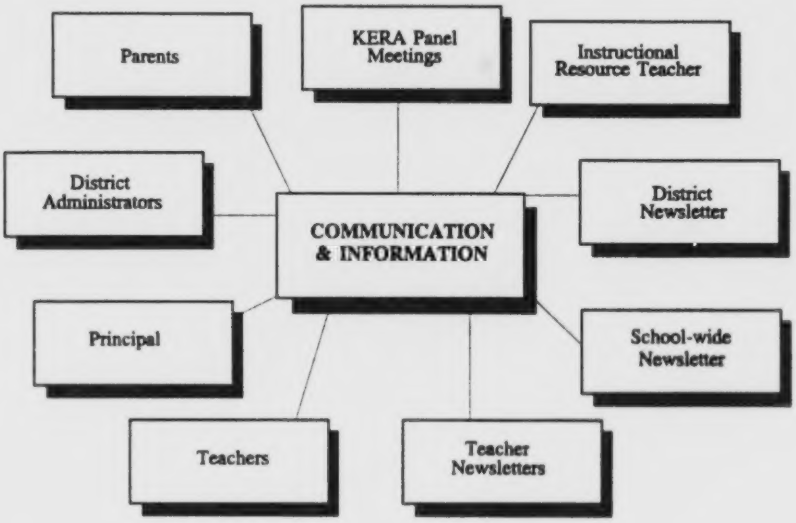
Parents
KERA Panel Meetings
Instructional Resource Teacher
District Administrators
COMMUNICATION & INFORMATION
District Newsletter
Principal
School-wide Newsletter
Teachers
Teacher Newsletters

Figure 9. Communication & Information Web

Communicating to parents, teachers, and the community was facilitated at Rainbow Elementary in a multitude of ways. The communication and information web (See Figure 9) shows the communication links and information dissemination. Overall, the district, the school, and the teachers each had their own methods of communicating and informing others about the new primary program. Rainbow not only communicated to those affected by the primary program changes, but the principal and instructional resource teacher helped teachers and parents to understand the changes through informational conversations, meetings, and newsletters.

Rainbow's 1990-91 narrative report indicated that Rainbow communicated to parents, teachers, and the community regarding the primary program changes. At first the school mailed an information brochure to every parent prior to the beginning of the school year. The teachers and principal send monthly school-wide newsletters, weekly classroom newsletters, published school council minutes, school calendars, and a "Welcome to Rainbow" brochure for new parents. Furthermore, the school held orientation meetings, parent/teacher conferences, parent workshops, an open house, as well as keeping close affiliation with the local newspaper. All these areas of communication were incorporated to keep the lines of communication open and to prepare parents for the full primary program implementation in the 1992-93 school year.

Additionally, Rainbow had involvement from the Parent Teacher Organization (P.T.O.), the school council, parents, and Volunteers in Public Schools (V.I.P.S.) program. The P.T.O. is composed of parents, family members, and community members, raised money to purchase materials for students and teachers. The V.I.P.S. organization was established by the district's board of education and provided schools with volunteers from the community who may or may not have children in the school system. Both of these groups assisted in the implementation of the primary program. Community partnerships were created and assisted in funding and building the primary playground and outdoor education center.

Rainbow had a mission to assist in the communication process by providing visitors with a step-by-step guide to its primary program, an example of affective thematic units, and copies of materials developed to facilitate authentic assessment, qualitative reporting, and program evaluation. In addition, the school made Rainbow's personnel available to other schools for assistance with specific skill development related to the primary program (Document 6). During the implementation process, the resource teacher, the principal, and the guidance specialist were there to answer questions before and after classroom visitations. A video, "Welcome To Rainbow," produced by the school was used to describe the primary program.

One of the primary persons responsible for communicating to teachers and parents was Sarah, the instructional resource teacher. Sarah's portfolio revealed that she was involved daily in the communication and information process. Examples of her communication strategies were communicating to the teachers on her role in the implementation process, sending parents notes on how they can help at home, providing teachers with information on different aspects of the primary program, and sending newsletters to both teachers and families.

Another interesting way Sarah communicated to parents was through parent workshops. During these workshop sessions the parents became engaged in lessons to assist in their understanding of how learning would be different in their child's classroom. Sarah also was responsible for preparing packets for visitors and families which contained information on Rainbow's primary program. Basically, Sarah was constantly focusing on different aspects of the primary program and discussing these aspects through newsletters and conversations with teachers and parents.

The School-Based Decision Making Council was also informed of events occurring in the school related to the primary program. Several of the meetings during 1991-92, consisted of different committees reporting on what was going on in relation to primary program implementation. The council's meeting minutes indicated that the principal provided current information and updates to the council on primary program issues. For example, the 1992-93 school year, minutes revealed that the principal shared feedback from his teachers on primary schedules and how he had made adjustments for the teachers (Document 3).

Rainbow's five-year plan alluded to communication and information through many of their goals and objectives. One objective stated that the school would develop a system for information exchange among teachers, parents, and the community. Another objective stated they would implement parent/child workshops designed to demonstrate major instructional changes produced by the school reform. Further, the staff was to develop informational materials on the primary program and on developmentally appropriate practices and also to continue to educate parents on authentic assessment's relationship to the 1994 performance-based test.

Several interviewees indicated that communication was a priority for them in the implementation process. The principal stated that the staff developed assessment rubrics to communicate to parents where their child was in relation to an "absolute standard" in all subject areas (Interview 1). Development of the rubrics came in the following order: writing rubric in the spring of 1992, math rubric in the spring of 1993, draft of social studies rubric in the fall 1994, and the science rubric is currently under development.

The instructional resource teacher's portfolio projected her communication and information system. Sarah met with the assistant instructional superintendent both formally and informally to discuss changes in the schools. During an interview Sarah stated "the assistant instructional superintendent is very in touch with the reform changes and provides assistance as needed to the instructional resource teachers and the schools (Interview 2). Additionally, observations of district resource teacher's meetings revealed a great deal of sharing and exchange of ideas and information with one another during the implementation process.

Also, Sarah and the school's principal initiated a KERA panel discussion night where parents could anonymously drop a question related to KERA in a box and the panel would address the question. In the beginning stages of implementing the primary program, Sarah held many informational sessions on the primary program; however, she found the second year that there were not as many parents who attended as the previous year. She felt this lower attendance rate was a result of the parents having had many of their questions answered the previous year.

The assistant instructional superintendent, Karen (pseudonym) began a newsletter called the "Curriculum Connection." This newsletter was sent out once a month to help teachers become aware of specific primary changes and provide ideas to use in the primary classroom. During an interview Karen stated that parents and the community were informed by parent meetings, articles in the local paper focusing on primary issues, and newsletters sent by the district office called "KERA Connection" (Interview 3).

Parents of primary students confirmed what Karen and Sarah said on how information was acquired on the primary program. One parent stated "Teachers are always there to answer your questions" (Interview 4). Another said that she learned about the primary program through her involvement in the classroom. Additionally, during the Parent Teacher Organization (P.T.O.) meetings parents would be placed in small groups and discussions would center on the different aspects of the primary program. Teachers stated that they communicated with parents through weekly newsletters, telephone conversations, and conferences. One teacher commented that she has an open-door policy for parents to come in and ask questions at anytime (Interview 18).

In addition to the goals of the school and the various methods employed by the school when communicating with teachers and parents, there were committees that developed brochures explaining the primary program. One example was a pamphlet designed for the school's open house that contained the primary's vision, mission, and motto along with the school's assessment results and awards. This pamphlet also described the P.T.O's role and the school's environment. The following idea was projected on the pamphlet: *FACULTY + PARENTS + CHILDREN = SUCCESS* (Document 12).

Another example of communicating and informing teachers and parents was through a brochure on Rainbow's primary program (Document 13). This brochure explained characteristics of the primary program as well as developmentally appropriate practices used in the primary program such as whole language, Miquon Math, Success, and thematic units. Additionally, there was a brochure on the school's improvement plan for parents and teachers to read (Document 14). All of Rainbow's brochures were informative, accessible, and reader friendly.

In summarizing Rainbow's communication and information system, there were many different methods employed to communicate and to inform teachers, parents, and the community about the primary program. At the district level, meetings were held with both the instructional resource teacher and the principal to discuss primary issues. At the school level, committees were formed to assist in developing ways to communicate with teachers and parents such as workshops and panel discussions for parent participation. These activities gave teachers the opportunity to develop their own methods of informing and communicating to parents. Most of the teachers in the school sent newsletters, conducted telephone conversations, and held conferences. Overall, these two change characteristics were initiated continually throughout the primary program implementation process.

Change Characteristic: Evaluation and Revision

At Rainbow Elementary, the process of evaluating and revising the primary program was an essential part of the implementation process. There was indication that evaluating and revising was conducted on a daily basis both formally and informally. Figure 10 shows that there were a variety of committees, staff, and plans that addressed the issue of evaluation and revision throughout the change process (See Figure 10). Several theorists agree that evaluating and revising a new program is essential for change to continue and for improvement to occur (Barclay & Boone, 1993; Purnell & Hill, 1992; Senge, 1990; Smith & Scott, 1990).

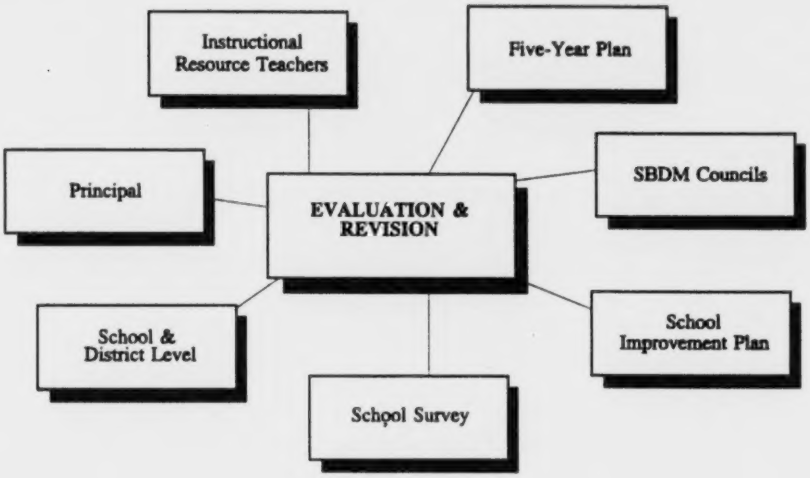
Instructional Resource Teachers
Five-Year Plan
Principal
EVALUATION & REVISION
SBDM Councils
School & District Level
School Improvement Plan
School Survey

Figure 10. Evaluation & Revision Web

Several of the school's plans contained evaluation and revision areas. Rainbow's "Five Year Plan" specified seven areas pertaining to evaluation and revision of the primary program. These areas include: a) evaluate current programs after first round of performance based testing; b) evaluate materials and programs using goals, concepts, and outcomes as the criteria, c) continue to evaluate programs and adjust as needed, d) evaluate current student/teacher/staff development arrangement with the University of Kentucky, e) assess needs and goals of site model, f) develop instruments for parent evaluation of programs and adjust programs as needed, g) evaluate progress in the areas of writing and all areas assessed by baseline testing and continue to evaluate the assessment techniques in reading, math, science and social studies performances

(Document 5). Teacher interviews and documents indicate that several of these evaluation and revision areas were employed such as math program revision and parent evaluation survey (Interview 15 & 17; Document 14 & 15).

Another school wide plan that included the idea of revision and evaluation was the "School Improvement Plan." This plan had a specific category titled "Areas of Improvement" that indicated areas for improvement. For example, the plan suggested that as a result of the school's test results there is a need for greater emphasis on math, social studies, and science and the communication of those concepts. A global statement concerning the revision was described, "We will continue to evaluate and redefine all programs as reflected in our five year plan using the seventy-five valued outcomes (Academic Expectations), available test data, and past implementation experience (Document 14).

Rainbow also was very willing to improve their primary program by gaining feedback from parents and staff. Therefore, during the 1993-94 school year, the principal developed a survey to provide him with information on how to improve the school and its service to children. The intent of the survey was to find more and better ways to meet individual children's needs and make sure that all the programs work together to help children reach the learning outcomes (Academic Expectations). Response rate from the survey was seventy-five percent. David commented during a school council meeting that the survey provided helpful information to assist in improving the school's primary program.

The SBDM Council's minutes from meetings indicate that there was a strong effort to improve the primary program. Many times the school requested feedback from a multitude of sources regarding improvement of the primary program. For example, in 1991-92, the council approved a staff development plan that evaluated, refined, and produced developmentally appropriate materials and units. Additionally, teachers identified strands of continuing education needs: assessment of developmentally appropriate practices and teaching strategies, management of active child involvement/multi-age classrooms, and technology. Through the evaluation process the staff found that workshops, planning sessions, and certification for kindergarten and primary teachers were necessary. In 1992-93, the council decided that evaluation of the instructional success should be determined by surpassing the school's performance thresholds and by improving individual performance on school-wide portfolios, performance events, and test scores.

A definite force behind the evaluation and revision philosophy was, again, the school's principal. Regarding thematic units, David explained that "after the first year of implementing thematic units the staff decided to restructure the units in order to align them with the primary program's core concepts (Interview 1).

Another area that pertained to revision was the assessment process. David stated that after the primary program began implementation the teachers became relaxed and forgot what to expect out of children. The teachers could show continuous progress but they had a difficult time telling if the child was performing at the same level as an average second grader. Therefore, rubrics were developed to assist teachers as well as parents to analyze how the child's performance compares to an absolute standard (Interview 1).

There was extensive indication that the instructional resource teacher, Sarah, continually assisted with revising and evaluating the primary program. She stated that the principal provides the staff with additional planning time to evaluate and revise the school's primary program. Interviews revealed that Rainbow teachers analyze the primary program and develop plans to make the program better. Sarah concluded and exemplified what Rainbow has embraced over the past few years, "I don't know if you ever reach the entire philosophy of KERA" (Interview 2). This idea is projected in every area of Rainbow's primary program implementation. The staff continually evaluates and revises what they are doing in the classroom.

The continual process of evaluation and revision extends from the school level to the district level. Karen, the instructional assistant superintendent stated that in collaboration with the district principals and instructional resource teachers, revisions were made on the primary progress report card. These revisions were performed to assist teachers and parents to better understand the primary progress report card. Next, revisions were executed in the area of multi-age grouping. At first, primary teachers were implementing four age spans by integrating kindergarten, first, second, and third graders into one classroom. However, this large age span created problems for many teachers; therefore, the teachers regrouped students to two age spans in the classroom, kindergarten and first, and second and third.

In summary, documents showed planning and interviews revealed that Rainbow's staff evaluated and revised all facets of their primary program. This revision process consisted of in-depth analysis of what was occurring and then the creation of a plan of action to assist in improving the primary program. There were several areas that pertained to improving the primary program such as staff development training, report cards, teaching programs, multi-age grouping, and communication and information procedures. One teacher stated, "teachers are never satisfied with the primary program and that they continually reflect, modify and make changes that will improve the program!" (Interview 20).

Change Characteristic: Vision

Figure 11, shows a multitude of areas that are related to the change characteristic, vision. Rainbow's school-wide vision was the focal point for the school's motto, mission and goals and provided a basis for assisting the school in developing the primary program action plan. Additionally, the school vision served as an integral part in meeting individual student's needs and encouraging a child-centered environment. Overall, all six areas contributed to the school-wide vision.

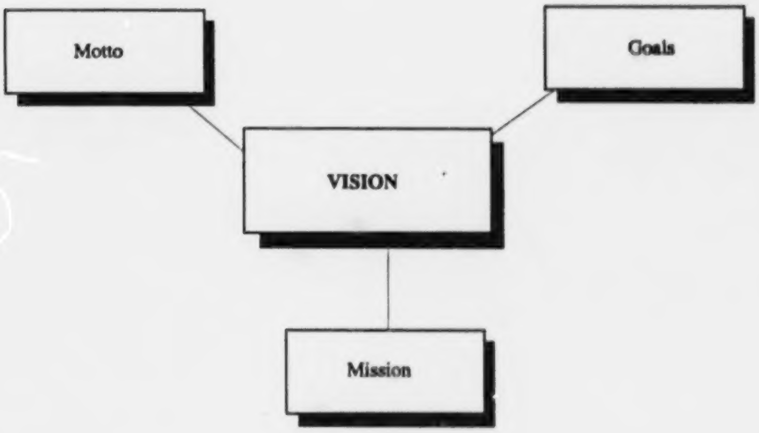

Figure 11. Vision Web

There was evidence that along with Rainbow's school-wide vision there was a primary program vision as well. Theorists contend that a vision is one of the necessary ingredients for schools to develop when beginning the implementation of new programs (Barclay & Boone, 1993; Murphy & Hallinger, 1993; Sarason, 1993; Schlechty, 1991; Senge, 1990). Schlechty (1991), stated that schools should have a true shared vision. This true shared vision is a vision understood by all those involved in the change process. Rainbow had a school-wide vision, a primary program vision, and written goals to assist in reaching these visions. Although these goals and vision pertained to Rainbow's students they also were directly related to the goals and vision presented in the Kentucky Education Reform Act (KERA).

Kentucky's Learning Goals serve as a guide for all schools in Kentucky and include:

1. Students shall use basic communication and mathematics skills for purposes and situations they will encounter throughout their lives.
2. Students shall develop their abilities to apply core concepts and principles from mathematics, the sciences, the arts, the humanities, social studies, practical living studies, and vocational students to what they will encounter throughout their lives.
3. Students shall develop their activities to become self-sufficient individuals.
4. Students shall develop their abilities to become responsive members of a family, work group, or community, including demonstrating effectiveness in community service.
5. Students shall develop their abilities to think and solve problems in school situation and in a variety of situations they will encounter in life.
6. Students shall develop their abilities to connect and integrate experiences and new knowledge from all subject matter fields with that they have previously learned and build on past learning experiences to acquire new information through various media sources (KRS § 158.6451 (b), 1994).

There are a variety of ways that Kentucky schools implement the Learning Goals. Kentucky teachers, administrators, and parents develop primary program action plans, five-year school plans, staff development and curriculum goals, and committee goals that relate to Kentucky's Learning Goals and Academic Expectations based on students' needs. Academic Expectations are a list of measurable academic expectations of students' knowledge and performances. These Academic Expectations are based on Learning Goals 1, 2, 5, and 6.

Teacher and principal interviews and review of physical documents show that Rainbow Elementary School had a shared vision designed collaboratively by Rainbow's staff. However, in addition to the school's vision there was also has a mission and motto that closely related to the Learning Goals and Academic Expectations of the Kentucky Education Reform Act (KERA).

There was no evidence of a formal written school vision prior to the primary program mandate. However, beginning in the school year 1991-92, the school's Council began to brainstorm ideas for the vision, mission, and motto of their school. The development of these three guiding statements progressed over a two year period. The school's staff and parents were involved in the process of developing these three guiding statements through a poster display of the draft and also through several presentations of the draft during staff meetings. Feedback on the proposed draft was requested from both parents and staff at the school. The committee would then take the feedback acquired and make the appropriate changes on the vision, mission, and motto statement. The final version of the statements were not approved until the Fall of 1993. The school's vision, mission, and motto are currently displayed in Rainbow's front entry hallway and state:

> **Our Vision**
> To be the best school in the nation for children, meeting each child's educational needs (Document 12).
>
> **Our Mission**
> To base every decision on the needs of our children. To employ caring people who are the best in their field. To continuously seek to improve instruction and services for children so they can constantly learn and grow. To earn the confidence of our community by making education our only priority. To provide, with the help of our parents and community, a positive and stimulating learning environment for children (Document 12).
>
> **Our Motto**
> Rainbow, Where Kids Come First! As we rededicate ourselves to serving children this year, our staff and school council will be discussing and adopting a vision, mission, and motto to guide us. Please give us your input (Document 12).

During interviews teachers were asked, "What is the vision of the primary program?" Teacher's responses varied; however, there were three common themes that emerged. These themes were that the primary teachers always try to place children first, that the school continually strives to be child-centered, and that teachers seek to meet the individual needs of each student.

Rainbow Elementary School's instructional resource teacher commented that "there is a school mission but the method of teaching is up to the teachers as long as they move the kids to where they should be" (Interview 2). She felt that teachers envisioned the primary program differently; therefore, there were many variations of the primary program within the school. This variation seemed to be prevalent within every primary classroom. Teachers were given the freedom to reach the primary goals by deciding what was best for their students. Although teachers had freedom within the classroom there was still evidence of the implementation of the critical attributes, the Learning Goals, and the Academic Expectations.

This vision of individualization and child-centeredness was also discussed by the instructional assistant superintendent. She stated that there is no written district vision of the primary program but the state's vision of the critical attributes have been adopted. Furthermore, she commented that the district has taken the philosophy that "we are all in this together - like an umbrella" (Interview 3). The instructional assistant superintendent added that differences and uniqueness of primary programs are allowed at each school.

The researcher found that in addition to the school's vision, mission, and motto, there were several committees (e.g. primary committee, five-year committee, staff development committee) that developed goals to assist in implementing the primary program. These goals were simply the plan of action for attaining the vision, mission, and motto of the school. The committees had been working prior to the mandate of KERA and developed a variety of goals: five-year school goals, school goals, staff development goals, school improvement goals, teacher's individual KERA goals and district wide goals. These goals were designed at three different levels: school, district, and state.

At the school level, there was evidence of goals being planned to make the primary program better. This was shown in a 1990-91 narrative report; however, the report reflects on previous years of primary implementation. The narrative report states:

> "As our curriculum has broadened through the use of developmentally appropriate practices, we have also realized that the artificial barriers imposed by ability grouping, nongradedness, linear scope, and sequence curriculum, and arbitrary numerical grading scales not only damage student self-concepts and inhibit performance but are unnecessary evils. Our specific goal for the 1991-92 school year is to address these "unnecessary evils" and further expand our use of developmentally appropriate practices. It is also our goal to be a beneficial resource to fellow educators, parents and community leaders by providing our state with examples of how each of the critical attributes of Kentucky's Primary program can be implemented and by addressing key issues such as inclusion of special needs students and the participation of half-day kindergarten in the primary program" (Document 6).

The five-year plan was divided into three parts. The first part was the goal that thematic units, music and art performances, writing portfolios, budget, technology plan, and science and social studies be consistent with KERA's Learning Goals, learner outcomes (Academic Expectations), and core concepts. Second, the school should develop additional units based on core concepts, valued outcomes (Academic Expectations), and results of performance-based testing. Lastly, was the goal that instruments should be developed to engage parents, children, and teachers in setting goals for each child's success. Each of these goals are consistent with the overall goals and outcomes of KERA.

In 1993, school goals were adopted by the school's Council in the following primary areas: developmentally appropriate practices, qualitative reporting, positive parent involvement, and professional development. Basically, these four areas reflect the primary program's critical attributes. The adopted school goals are to:

1. Become fluent in developing units of instruction and select material and activities that facilitate attainment of the instructional goal, concepts, and outcomes identified by KERA.
2. Integrate authentic assessment activities and other evaluation systems that promote student/teacher goals setting and analysis of processes and products.
3. Increase positive parent involvement by providing on-going activities designed to enhance school/community relations.
4. Discuss, develop, and adopt our school vision, mission, and motto.
5. Implement individualized KERA/staff development plans. e.g. writing and reading workshops, parents as partners, math and social studies rubrics, books to correlate with core concepts, curriculum development, technology training, holistic scoring training, developing capable people, kids in crisis, and alternate portfolio (Document 3).

Another committee, the School Improvement Committee, developed school goals to enhance the implementation of the primary program. The committee described three goals that Rainbow would work toward for the future: (a) students shall apply basic communication and math skills in situations similar to what they will experience in real life, (b) students shall develop their abilities to apply core concepts and principles from social studies, science, and math to what they encounter in life, and (c) improve attendance from a percentage of 94.8 to 95.5. These goals demonstrate Rainbow Elementary School's commitment to moving toward KERA's Learning Goals and Academic Expectations.

In the interviews with primary teachers concerning the vision of the primary program, many teachers responded by stating they have personal KERA goals that are cultivated throughout the school year. These goals are set by each primary teacher and then plans are made to assist them in achieving these goals during the school year. One teacher referred to her personal KERA goals and stated, "I have my own personal goals that I am working toward in reading and literature activities. These goals have helped teachers develop new themes and prevent us from repeating outcomes" (Interview 18).

At the district level, goals are presented through a mission and philosophy statement which provide a framework for other schools in the district to follow. This framework allows schools to be flexible and design their primary programs according to what is best for their students. Both the mission statement and the philosophy relate to KERA. The mission statement was created for the district's Annual Performance Report in 1990 and states:

> *To guide students in the assimilation of knowledge and the development of values which will enable them to become thinking, productive, caring members of a changing society, and enhance the quality of their own lives and that of the larger community (Document 9).*

In the 1993-94, District School Year Progress Report for students, the philosophy of the district is clearly stated:

> *We believe all students can learn.*
> *We believe individual difference in the pupil population should be accepted and respected.*
> *We believe instruction should focus on concepts, skills, processes, and attitudes in the six goal areas mandated by KERA (the six goals are listed)*
> *We believe it is the responsibility of our schools to respond to the varying needs of students with developmentally appropriate strategies.*
> *We believe the process of assessment must be inseparable from the process of instruction and that continuous progress corresponds with the holistic view of the learner (Document 11).*

At the state level, the Kentucky Department of Education initiated efforts to assist districts in making a smooth transition from the traditional elementary program to the primary program. In 1992, Rainbow Elementary was selected as a pilot staff development planning site. A team of Rainbow teachers and the principal participated in this planning endeavor. There were sixteen sites across the state and each site had representatives from three to six school districts, from regional universities, and the Kentucky Department of Education (KDE). These groups were to work together to develop plans for the training necessary to successfully implement a non-graded primary program. Overall, the group's mission was to first establish a vision for what training was needed to prepare teachers for implementing the primary program. The plans developed were shared with all districts in the Spring of 1991.

Specific goals of the project were created by the project members. These goals directly relate to the implementation of the primary program. The first goal was to develop a number of models for staff development related to implementing the non-graded primary school program in 1992. The next goal was provision of training for school leaders, KDE staff, and university personnel as related to implementing the non-graded primary school program. Last, additional goals were established by the project members and include: (1) identify consultants who can provide assistance to local education agencies; (2) identify needed resources for schools to use in staff development activities; and (3) produce resources for schools to use in staff development activities in implementing the non-graded primary program.

Analysis of this information shows that Rainbow Elementary School's staff was involved in the process of creating vision for the school. Additionally, the school's principal was involved in developing the state-wide primary program vision. Rainbow Elementary School's vision, mission, motto, and goals, correspond to the implementation of the primary program and focus on KERA's Academic Expectations and Learning Goals.

The school's instructional resource teacher stated that along with other staff members appropriate benchmarks and goals for students are continually being developed. Each year the school creates one or two goals specifically related to their vision. For example, thematic units and whole-language activities were goals developed before the mandate of the primary program. In the following years, after the mandate of the primary program, the school designed new goals to be addressed such as the development of rubrics for student assessment and the creation of parent workshops to provide information related to the primary program (Interview 2).

Several of the teachers indicated that the vision of the primary program is that "kids come first." One teacher summarized what best represents the school's motto, "Everyone in the school is working toward and for the children. It's one of the few places I have ever been that will do that!" (Interview 5).

Many theorists suggest that a mission, objectives, and a series of tasks be set before the change begins and be an integral part during the change process (Berman & McLaughlin, 1977; Fullan & Miles, 1992; Vandercook, Bell, & York, 1992). Review of documents indicate that Rainbow Elementary School established a mission, designed objectives, and employed a series of tasks when preparing for the implementation of the primary program. Overall, there is evidence in this school that not only is the vision present but that it truly guides activities related to primary program implementation.

Change Characteristic: Support Systems

As shown in Figure 12, support systems are demonstrated in a variety of ways from within and outside the school (See Figure 12). The school continually searched for new ways to gain support to assist in primary program implementation. All these support systems worked collaboratively to assist the school's staff.

Schlechty (1991), stated that when implementing new programs there must be a building of networks and alliances in which people interact and encourage one another. Rainbow Elementary is an excellent example of providing support networks to those involved in the change process.

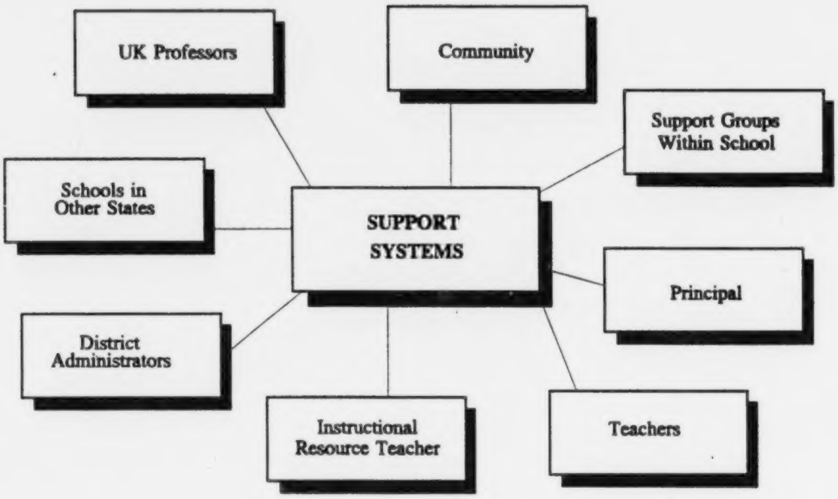
UK Professors
Community
Support Groups Within School
Schools in Other States
SUPPORT SYSTEMS
Principal
District Administrators
Instructional Resource Teacher
Teachers

Figure 12. Support Systems Web

When teachers and parents were asked, "What kind of support systems were there when implementing the primary program?," the response was overwhelmingly directed to both the principal and the instructional resource teacher. Teachers commented that they would repeatedly ask the instructional resource teacher for information on a specific topic and she would promptly find the information requested. Her role was one of a supporter and facilitator of information to the primary teachers in the building.

One teacher commented about the instructional resource teacher, "Sarah is a wonderful listener and good receiver of information. She writes down everything you say and she takes action on it" (Interview 13). In order to help the staff with primary implementation Sarah carried a notebook at all times and recorded requests, questions, and solutions. Another teacher added that Sarah is always there to help with teachers' questions and she works well with all the teachers in the school.

Rainbow's principal was supportive of all committees and teachers who were involved in the implementation of the primary program. He was always there to give advice, provide assistance, or to listen to frustrations and concerns. Teachers, parents, instructional resource teacher, and the instructional assistant superintendent stated that support systems consisted of people or groups of people within the school and school district.

When the principal commented on support systems, he stated that the support systems in school were those resources that were available to the staff during the implementation process. He stated that in the beginning stages of primary program implementation there was a great deal of money spent on materials: books, learning activities, and computers. This additional expenditure was evident in the school's library which doubled in size from a 10,000 volume library to a 20,000 volume library. Additionally, some grant money was received from the Kentucky Department of Education for Rainbow to serve as a model site for primary programs. Also, due to teachers' writing of grants, there were over $53,900.00 of grant monies received during the 1991-92 school year (Interview 1). Teachers commented that David had been generous at supplying them with resources for the classroom (Interview 13, 14, & 19).

The principal continued by stating that support systems began by allowing teachers to visit other primary schools to assist them in piloting a few of the primary program's critical attributes. Further, his philosophy on support systems is, "When you move from visitation to implementation then the materials and support must move with the implementation process; so that the teachers do not get ahead of the school's ability to provide support" (Interview 1).

Furthermore, the principal stated, "In 1991 the primary teachers mushroomed and their growth could not be stopped" (Interview 1). In other words, the teachers' growth extended the support systems at that point in time. David stated, "Sarah and I were having a hard time keeping up with them" (Interview 1). He found that the change had a huge ripple effect on teachers, in that once they began implementing the new program they needed more support. The principal commented that a school implementing school-wide change should have support close to the school site. Further, he said that by analyzing and reorganizing existing resources such as Chapter I teachers' and resource teachers' time, implementation has a chance to be successful (Interview 1).

Another source of support came from the support team committee composed of teachers, the instructional resource teacher, and principal. This team provided support to teachers on an "as needed" basis. Several teachers commented that they asked the team for assistance on different areas that they were having difficultly with during primary program implementation. The principal's comment on the support team in a School Based Decision Making (SBDM) meeting exemplifies the school's openness to ask for assistance. During an interview, David stated that asking questions is intelligent and the support team's role is to assist and help with obstacles that occur during implementing the primary program (Interview 1).

Additionally, support came from teachers at an elementary school in St. Augustine, Florida. The Rainbow principal was responsible for creating a partnership between the two schools to allow teachers in both schools the opportunity to share, network, and provide information related to the primary program. The teachers from the two schools attended primary training together in both Florida and Kentucky. Communication was conducted through mail, telephone conversations, and on-site visitations. Rainbow's school district commended the school at a board meeting on the school's ability to establish an "innovative sharing partnership" between Rainbow Elementary School and the St. Augustine Elementary School. This partnership was supported and funded by the school district. Another support to the primary classroom was the district technology coordinator who visited primary classrooms and assisted teachers with new computers and technology. Further, there is a volunteer coordinator that provides teachers with community volunteers to help in the classroom. Volunteers participate in activities ranging from reading to students, to making and organizing materials for instructional purposes.

An additional support system from outside the school district was the Central Kentucky Education Cooperative (CKEC). The role of CKEC is to assist schools with all areas of implementation of KERA. More specifically, CKEC collaborates with schools by having monthly meetings with primary teachers and principals that deal with primary program issues. These meetings focus on sharing primary ideas and discussing problems that other schools are having in the implementation of the primary program. These meetings allow schools to network and assist each other by sharing knowledge and expertise. In addition to the discussions, professional development needs are surveyed and decisions are made in regard to what professional development training is needed within the CKEC region.

Additional support systems employed in the beginning stages of implementing the primary program included the University of Kentucky professors who provided their expertise, the Parent Teacher Organization that purchased resources for the primary classrooms, and the school's child guidance counselor who encouraged the primary teachers.

The principal and instructional resource teacher discussed that Rainbow's Family Resource and Youth Services Center (FRYSC) started in the 1992-93 school year and had little impact on primary program implementation. Sarah believed that the lack of impact from the FRYSC was related to the challenges faced by Center to learn and develop. She felt that perhaps at a later date the Center's staff may assist in primary implementation through collaboration with the staff (Interview 1 & 2).

Overall, Rainbow Elementary and its school district offered a supportive environment by providing appropriate resources, training for teachers and assistants, and support groups for the entire staff. This support allowed teachers to grow and acquire new knowledge; however, the support also allowed the staff to discuss their successes, fears, frustrations, and obstacles when implementing the primary program. Vandercook, Bell, and York (1992), state that teachers in a school involved in restructuring must surround themselves with supportive colleagues. It is evident that Rainbow Elementary understands and incorporates this idea into the daily process of implementing the primary program.

Change Characteristic: Planning

Another interesting finding was the planning time that was involved before and during primary program implementation (See Figure 13). Research indicates that planning time needs to be incorporated into the change process (Belasco, 1990; Conley, 1993; Elmore, 1990; Murphy & Hallinger; 1993; Purnell & Hill, 1992; Senge, 1990). Theorists contend that the staff must be given an appropriate amount of time to plan for the new program being implemented.

Many times during the restructuring process, schools develop ideas for the new program but do not provide teachers with the time to plan for the new ideas. However, there is indication from the documents and interviews that Rainbow Elementary did provide its staff with the time to plan for the primary program. This planning process was conducted in a variety of ways. Figure 13, illustrates how committees and the staff were involved in planning for the primary program along with the planning time given to teachers before, during, and after school.

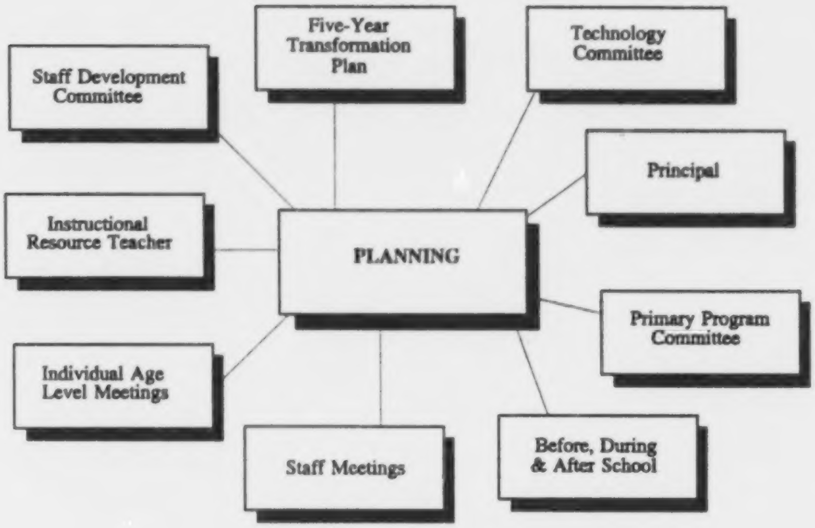
Five-Year Transformation Plan
Technology Committee
Staff Development Committee
Principal
Instructional Resource Teacher
PLANNING
Primary Program Committee
Individual Age Level Meetings
Staff Meetings
Before, During & After School

Figure 13. Planning Web

Teachers were involved in the planning process from the beginning by participating in primary program committee meetings and individual grade level meetings. This type of planning occurred before the KERA mandate of the primary program. A variety of committees planned for the different components of the primary program. Examples of planning committees are the technology committee, staff development committee, and five year transformation planning committee. Once the committees developed their goals and objectives for the primary program, then the committees submitted their ideas to the school's Council for approval.

One of the primary planners of the primary program was the instructional resource teacher, Sarah. Sarah constantly met with other resource teachers in the school district to plan and create items such as a whole-language manual, assessment rubrics, professional development training seminars, and action plans for primary program implementation. She also planned with teachers and assistants at the school-site on various issues related to the primary program. Sarah was a major contributor to outlining goals and planning how to attain the goals related to the primary program.

David, the principal, was an initial planner and developer of the seven critical attributes of the primary program at the state level. He served on the state-wide primary committee that analyzed and synthesized research concerning the primary program. Furthermore, he assisted in defining the philosophy of the primary program and its critical attributes. In addition, David was involved in planning for both his school's primary program and the district-wide primary program through his participation on the state level primary committee and the district level primary planning committee. In essence, he was on the "cutting edge" during the beginning stages of planning for the Kentucky's primary program. This type of active involvement in the planning process, allowed him to share with his staff insights into Kentucky's future primary program.

When Rainbow was selected to serve as a model primary site for the state of Kentucky, the school received money that allowed additional time for teachers to plan together. During these initial planning meetings, the teachers would assess which attributes were their strongest and which attributes were their weakest. As a result of the planning, Rainbow teachers decided that they had made progress in implementing several of the critical attributes, except for the attribute multi-age/multi-ability grouping. This one attribute was affirmed by the teachers as the area in which they needed more information and improvement. Thus, during the planning meetings the teachers made plans on how to acquire information and on which teachers would pilot a multi-age/multi-ability classroom for the next school year. This type of planning is a good example of how Rainbow teachers were part of the planning process and how they had control over their school's destination regarding the primary program.

During the school day, each teacher has at least thirty minutes of planning time. Although there are no set team or family structures, several teachers team and plan together. At the end of the school year the teachers who are teaching the same age levels always meet for a half day planning session. These on-going planning sessions focus on specific areas that need improvement in the classroom.

For example, when interviewing two of the primary teachers, both stated that one day in May had been scheduled to discuss and plan for next year's primary math program. These teachers stated that they did not think they were meeting the student's needs in the area of math; therefore, they found it necessary to plan and discuss the future of their primary math program (Interview 14, 17, 19, & 22).

Overall, there was indication that planning had been an integral part of the primary program. Several teachers stated that they still needed more time to plan for the changes. However, most teachers felt that because Rainbow had begun to plan and implement the primary program's attributes prior to the primary program mandate, that this had made the transition gradual and not impetuous.

Change Characteristic: Barriers Recognized and Addressed

From analysis of documents and interview transcriptions, there were five barriers that emerged. These five barriers included: time for primary implementation; money for materials; appropriate methods to report student progress to parents; meeting students' needs in a multi-age setting; and teachers' and parents' interpretation of the primary program (See Figure 14). The staff was always willing to recognize and address barriers. This process exemplified how the staff wanted to constantly make the primary program better.

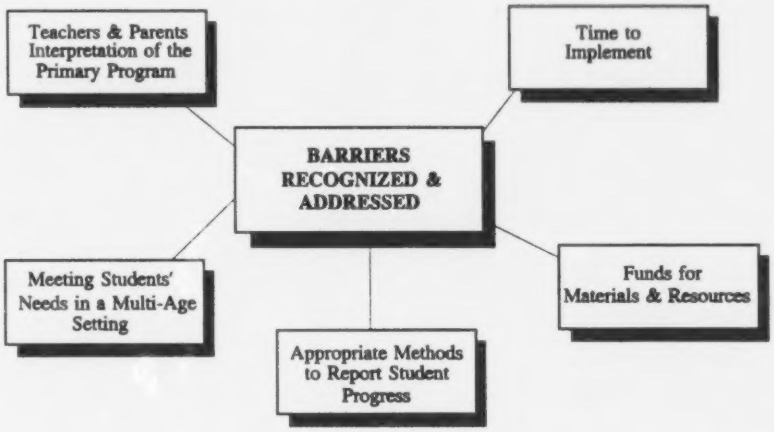
Teachers & Parents Interpretation of the Primary Program
Time to Implement
BARRIERS RECOGNIZED & ADDRESSED
Meeting Students' Needs in a Multi-Age Setting
Funds for Materials & Resources
Appropriate Methods to Report Student Progress

Figure 14. Barriers Web

Many times when schools are implementing new programs, the staff assumes that the new program will run smoothly because of the time they have spent planning and developing the new program. In order for new programs to be effective, those involved in implementing the new program must recognize and address barriers or obstacles that may be encountered (Cuban, 1990; Fullan & Miles, 1992; Senge, 1990).

Teachers overwhelmingly stated that they needed more time to implement the primary program. Many felt that even though Rainbow had started to implement several of the critical attributes prior to the primary program mandate, there was still not enough time. One teacher commented, "Time has been a big factor because we had to move too fast and too quickly" (Interview 10). Another teacher stated, "It's like being thrown into a swimming pool and you learn how to swim after you think you're going to drown!" (Interview 18). This teacher stated that Rainbow addressed this barrier slowing down, taking one step at a time, and realizing that all seven attributes could not be implemented in one school year (Interview 18).

Teachers described another barrier as lack of money to buy developmentally appropriate materials for the classroom. However, this barrier was primarily expressed by teachers and not parents, assistants, or leaders in the building. This barrier is not completely resolved; however, creative strategies for seeking additional money were implemented by the teachers and leaders in the school. Two strategies were employed to overcome this barrier. One was to request additional funds from the P.T.O. and the second was receiving money from grants which were written by the teachers (Interview 2).

Several of these innovative teachers wrote and received grants that supplied them with money to purchase materials for their classrooms. For example, one teacher wrote a grant called "Parents as Partners" which allowed her to buy materials to make hands-on activities. The intent of the activities was to allow parents to check-out the activities for home use with their children. This creative grant allowed the teacher to enrich her classroom as well as provide parents with strategies for assisting their children at home (Interview 1 & 2).

Teachers and the instructional assistant superintendent stated that reporting students' progress to parents was still a challenge (Interview 3, 6, 20, & 21). Teachers commented that there has been increased communication to parents about the new reporting process. Additionally, Rainbow developed an assessment rubric to assist parents in understanding where their child is in relation to an absolute learning standard. The librarian stated that it is hard for parents if you do not send home graded papers with a letter grade they can recognize (Interview 9).

Another barrier at Rainbow Elementary has been meeting the diverse needs of students in the multi-age classroom. One teacher stated, "The stress comes from teaching multi-ages because it brings on more ability levels and therefore there is a need for activities that will address these ability levels" (Interview 15). Several teachers agreed that they feel that they are not individualizing instruction appropriately. The district instructional assistance superintendent said the multi-age/multi-ability range is a problem because it creates additional age spans. She stated that an assistance team had been created for schools to use in identifying barriers to student learning and helping teachers remove these barriers. However, when interviewing parents, assistants, and teachers the assistance team was not mentioned (All Interviews)

In addition, different interpretations of the primary program is yet another barrier in the change process. One teacher stated that she feels everyone has a different idea about KERA's primary program and that this barrier prevents teachers from understanding the new program (Interview 4). In addition, another teacher commented that the barrier is communicating to parents and dealing with their preconceived idea about what the primary program is all about (Interview 8). Although, it was not specifically declared, Rainbow is overcoming this obstacle through newsletters from individual classrooms along with newsletters from the principal (Document 1, 2, 12, 13, 15, & 16).

Several other areas were indicated as being barriers in the process of implementing the primary program. One teacher stated that when a child transfers from another school that the difference in report cards make it difficult for teachers to decide what the child has already learned (Interview 20). One parent commented that the primary program is negative for those parents who do not work with their children at home (Interview 5). Another barrier during the primary implementation was that the focus was on training primary teachers at first; however, the principal and the instructional resource teacher realized that the entire accountability rests with the fourth grade teachers. Therefore, this barrier was addressed by assisting the fourth grade teachers on what was going on in the primary classroom and how it relates to them (Interview 1 & 2). Further, there was another realization that theme books that were purchased did not necessarily fit the level of the students. Thus, the teachers made adjustments by finding other books that would meet the needs of the students (Interview 23).

When the principal addressed the barrier issue he stated his philosophy instead of barriers that actually occurred at the school site. David finds that the biggest barrier to change is attitude because people do not like change. He continued to state the larger number of staff members that are in the revision mode, the better off you are in implementing change. Two other barriers stated by the principal were politics and policies. He feels to really have effective change you have to have a lot of freedom. David stated that everyone's situation is different and that the more change is regulated the less effective the change process is. He concluded, "Give me outcomes and my staff will get there, but don't give me policies to follow!" (Interview 1).

Barriers were addressed before the 1990 KERA mandate of the primary program. This was evident in the following primary narrative:

> "As our curriculum has broadened through the use of developmentally appropriate practices, we have also realized that the artificial barriers imposed by ability grouping, nongradedness, linear scope, and sequence curriculum, and arbitrary numerical grading scales not only damage student self-concepts and inhibit performance but are unnecessary evils. Our specific goal for the 1991-92 school year is to address these "unnecessary evils" and further expand out use of developmentally appropriate practices" (Document 6).

In summary, Rainbow's staff encountered several barriers that were addressed during the process of implementing the primary program. A few of the barriers such as supply of materials and reporting to parents were addressed and solutions were generated. Nevertheless, Rainbow's perception of these barriers is that solving them is an on-going process and solutions are developed over time.

Other on-going attempts at solving barriers are the multi-age level issue and time issue. Overall, Rainbow's staff has the forbearance and willingness to continually improve their primary program. The staff recognizes that barriers presently exist and will continue to arise during the implementation process; however, the staff understands that these barriers will be addressed over time.

Advice to Schools Implementing Change

Several of Rainbow's staff and district staff offered suggestions for other schools implementing change. The instructional assistant superintendent stated that teachers need time to develop a vision of the primary program and time to establish ownership within the vision (Interview 3). Additionally, she commented that the school's staff needs time to read, research, plan, and think ahead about the changes. She continued by stating that you need constant collaboration and evaluation of the new program. If changes implemented are working, she feels that teachers will see progress in students and therefore parents will be reporting that their child loves to come to school (Interview 3).

Furthermore, the teachers stated that you need to start early, share materials and ideas, participate in training, and learn one critical attribute at a time. Other teachers added that you need to learn from your mistakes, be flexible, and communicate with other teachers in other schools (Interview 14, 18, 19, & 21). In summary, the teachers stated that you cannot expect too much of yourself or you will feel overwhelmed during the change process (Interview 22).

Summary of Findings

From the data collected, it can be concluded that Rainbow Elementary had been implementing several of the critical attributes prior to the primary program mandate and is currently implementing all seven of the attributes. At Rainbow Elementary, the change process is perceived by the principal and staff as a continual process. Each year at Rainbow new and innovative methods are developed and existing methods are evaluated and revised in relation to the primary program. These developments, evaluations, and revisions exemplify how Rainbow's staff is motivated to change and continually pursue the best methods for students in their primary classrooms.

Although the principal and the staff were motivated to change, there were some critical events that affected the change process in the school. These critical events assisted Rainbow in successfully implementing the primary program. Figure 15, represents a timeline from the 1989-90 school year to the 1993-94 school year and lists key events that took place during the implementation process.

CRITICAL EVENTS THAT AFFECTED THE CHANGE PROCESS

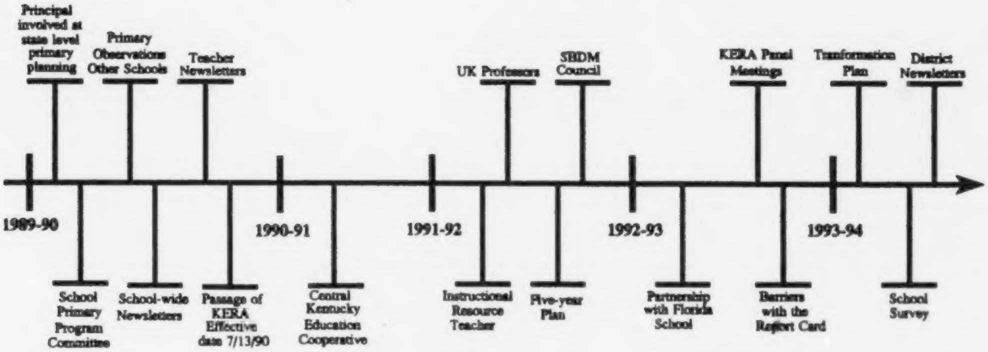
Principal involved at state level primary planning
Primary Observations Other Schools
Teacher Newsletters
UK Professors
SBDM Council
KERA Panel Meetings
Tranformation Plan
District Newsletters
1989-90
1990-91
1991-92
1992-93
1993-94
School Primary Program Committee
School-wide Newsletters
Passage of KERA Effective date 7/13/90
Central Kentucky Education Cooperative
Instructional Resource Teacher
Five-year Plan
Partnership with Florida School
Barriers with the Report Card
School Survey

Figure 15. Critical Events That Affected the Change Process

Beginning in 1989-90, the principal became actively involved at the state level in the design and planning of Kentucky's primary program. Because the principal was involved in the early development of the primary program, he provided his staff with insight into the changes that were to be implemented in elementary classrooms. During this time, the principal allowed his staff to travel to other states to observe successful primary programs (Interview 1, 2, 3, & 7).

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Additionally, both principal and teacher newsletters were disseminated on a regular basis in the school. These newsletters continually gave parents and teachers current information concerning the school and individual classroom events (Document 1 & 2).

In 1990-91, the Central Kentucky Education Cooperative (CKEC) was formed to assist Rainbow as well as other schools in the region with information about the new primary program and staff development opportunities related to the primary program's critical attributes. Once again, Rainbow's principal assumed a leadership role by chairing committees and developing several documents such as the "Primary School Targets and Benchmarks" (Document 20; Interview 1, & 7).

The next school year, 1991-92, the district decided to hire instructional resource teachers that would assist in primary program implementation. These instructional resource teachers provided knowledge, support, and assistance to all teachers and parents in regard to the primary program (Interview 2). Furthermore, University of Kentucky professors were asked to help teachers on various aspects of the primary program. These professors contributed their expertise in various areas such as whole-language and the writing process (Interview 1 & 2). Also, within this school year, the School-Based Decision Making Council and the Five-Year School Plan were created. The Council made decisions that impacted primary program implementation and the Five-Year Plan provided an outline for the school to follow for the next five years in implementing the primary program (Interview 1 & 3; Document 5).

In 1992-93, the principal met a Florida principal at a technology conference in Texas. Both principals agreed that in order to help their teachers with similar changes in their classrooms that a support system was needed between the two schools. Therefore, a partnership between the two schools was formed to offer support and information to both schools' staff by participating in collaborative staff development workshops focusing on discussions related to the primary program and by observing each other's primary classrooms (Interview 1 & 2).

Additionally, during this school year panel meetings on the Kentucky Education Reform Act were held at the school. These meetings allowed parents and the community to ask questions and develop a deeper a understanding of the changes being implemented in the school. Although the staff continually recognized and addressed barriers within the school, this particular year there was a focus on assessment and the report card. The staff analyzed the report card and made changes that were appropriate to their primary program (Document 1 & 2; Interview 2).

In the school year 1993-94, the staff created a Transformation Plan which was an extension of the Five-Year Plan. This plan allowed them to set goals for the future related to a variety of topics such as staff development. Also, the district assistant superintendent began to send district newsletters to inform teachers and principals of different changes being discussed at the state level on the primary program along with classroom suggestions on primary program implementation (Interview 3).

The principal initiated the final critical event, which was sending a school-wide survey to parents and teachers. This survey addressed different issues of the primary program such as how well the school's staff and principal were doing in primary program implementation and how well the school had helped parents understand the new changes (Interview 1; Document 15 & 16).

Overall, these critical events had a impact on primary program implementation. However, as discussed in the findings there were many events that affected the primary program implementation. Since 1989-90, Rainbow Elementary went from having a innovative and successful primary program to a school that continually renews and improves. The researcher found both the staff and principal to have two goals of focusing on continuous improvement and providing students with the best primary program possible. These goals were interwoven into Rainbow's journey to primary program implementation.

CHAPTER V

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Summary

The implementation of Kentucky's primary program is one of the most challenging efforts sought by legislatures, educators, and citizens in the state. The challenge lies in implementing all seven critical attributes of the primary program concurrently. More specifically, primary program implementation requires students, parents, teachers, administrators, and community to relinquish familiar principles and practices and adopt new ones within a defined amount of time. Furthermore, the changes that are mandated may or may not align with the principles and practices of those who are directly affected by this change process. Therefore, change characteristics must be effectively employed to assist in implementation of the new program.

This case study focused on the change characteristics employed in a successful primary school. The goal of the study was to gain insight into how the school successfully changed and to investigate the principal's role in the implementation process. This goal was achieved through coding and categorizing interviews and document reviews along with informally observing in primary classrooms and attending committee meetings. Recommendations were sought from 14 educational leaders for a successful school in the central Kentucky region.

Three major findings were revealed: first, all of the ten change characteristics had an impact on the implementation process in the successful primary school; however, there were a few of the change characteristics that had more of an impact than others.

Second, the principal played the key role in guiding the school to successful primary implementation although the support of the instructional resource teacher was also instrumental in bringing about successful change. Third, the school was change-oriented prior to the primary program mandate.

Conclusions

Importance of Change Characteristics

The analysis of the ten change characteristics shows that all ten change characteristics played a role in the change process in this school. Although these change characteristics are interrelated, a few are more predominant than others. The change web, as shown in Figure 16, represents a visual description of the relationship of the change characteristics found in this study.

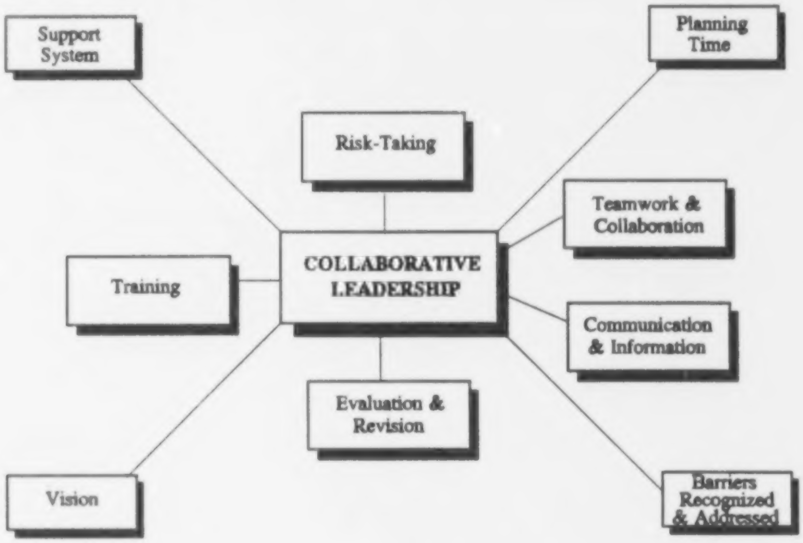
Support System
Planning Time
Risk-Taking
Teamwork & Collaboration
COLLABORATIVE LEADERSHIP
Training
Communication & Information
Evaluation & Revision
Vision
Barriers Recognized & Addressed

Figure 16. Change Characteristics Web

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The center of the change web is collaborative leadership which exemplifies the importance that leaders played in the implementation of the school's primary program. Without this type of leadership, successful implementation of the primary program could not have occurred. The next level of the change web, displays the change characteristics training, risk-taking, teamwork and collaboration, communication and information, and evaluation and revision. These five change characteristics had a secondary influence on primary program implementation.

The third level represents the change characteristics: vision, support systems, planning time, and recognizing and addressing barriers. This level shows change characteristics which contributed to primary program implementation but had less of an influence.

Each change characteristic had varying levels of impact on primary program implementation; therefore, conclusions are discussed in relation to these three levels. These three levels of change characteristics can only be applied to this case study and were found from the analysis of the data. Again, the change web shows the different levels of impact on primary program implementation as well as how the change characteristics are interwoven and connected to one another.

Level One: Collaborative Leadership

This case study reinforced the need for collaborative leadership when implementing school-wide change. Findings from this case study showed that collaborative leadership was the primary change characteristic in assisting Rainbow to successfully implement the primary program. These three leaders; the principal, the instructional resource teacher, and several teachers, worked together toward the common goal of primary program implementation (See Figure 17).

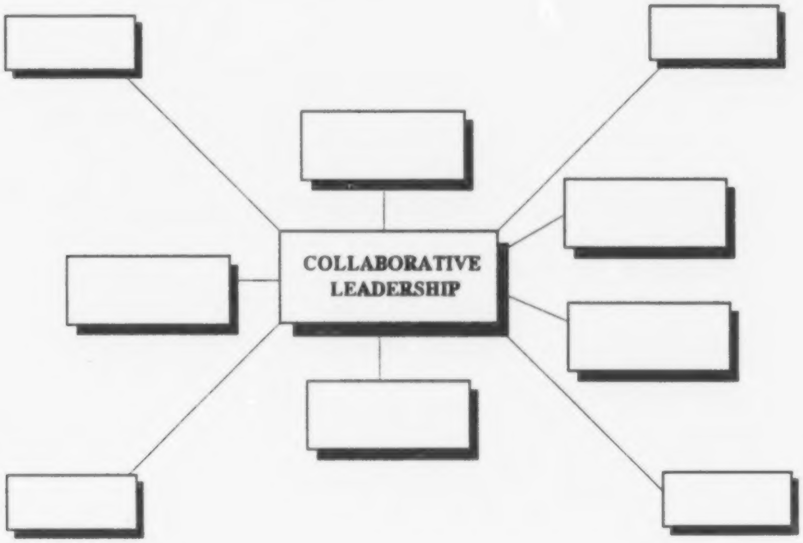

Figure 17. Level One Change Characteristic

Role of Principal

The findings indicate that Rainbow's principal employed the ten change characteristics (leadership, risk-taking, training, evaluation and revision, communication and information, and teamwork and collaboration, support systems, vision, planning time, and addressing barriers) during implementation of the primary program and had prior knowledge of the philosophy and principles of primary programs. The principal developed prior knowledge of the primary program by being actively involved in the development of the primary program, participating in numerous primary committees, and networking with teachers and principals in other states who had implemented similar programs. This prior knowledge and direct involvement in primary program development allowed the school to take initial steps toward implementation.

Additionally, this principal had the ability to initiate and create new programs. During the implementation process, several new programs were initiated based on the needs of the students. These new programs were funded and supported by the school's staff and district. Overall, Rainbow's principal played the key role in primary program implementation by building on prior knowledge, researching new ideas, and making connections to the past and the present instructional program. The principal empowered the staff and provided them with opportunities to make decisions, take risks, and recognize and solve barriers during the implementation process and continually sought resources to support the new program. Thus, the principal was instrumental in leading Rainbow to a successful primary school status.

The principal's contribution to primary program development embraced his personal ideas and concepts about educating young children. Essentially, the principal had prior knowledge of developmentally appropriate practices for young children which assisted him in the implementation process.

Role of Instructional Resource Teacher

While the principal was the primary leader in the school, another leader was present and assisted in implementation of the primary program. This leader, the instructional resource teacher, began in the 1991-92 school year and served Rainbow

Elementary School. The instructional resource teacher's primary responsibility was to assist primary teachers in implementing the primary program.

This person helped organize and support the change process in a variety of ways by sharing prior teaching experience, locating information, communicating to colleagues, and reinforcing change efforts. In addition, she assisted the principal in managing his ideas related to implementation and created workshops to improve parent's understanding of the primary program. Overall, these findings reveal that one reason the school reached successful primary program status was due to the instructional resource teacher's contributions and support to the staff and principal.

Role of Teachers

Another type of leadership emerged after implementation had begun. These emerging leaders were several teachers who became leaders through sharing new knowledge and practice, initiating grants, implementing professional development training, and serving as resources to other teachers within and outside the school. Although only several teachers emerged as leaders, all were encouraged by the principal to promote change and to be role models for other primary teachers. In conclusion, these three types of leaders, principal, instructional resource teacher, and several teachers, collaborated during the implementation process to provide Rainbow with a successful primary program.

Level Two: Change Characteristics

Level one, collaborative leadership, provided the staff with the opportunity to train, take risks, develop teamwork and collaboration skills, communicate frequently, and continually evaluate and revise the primary program. Level two change characteristics had a secondary influence on the change process at Rainbow (See Figure 18).

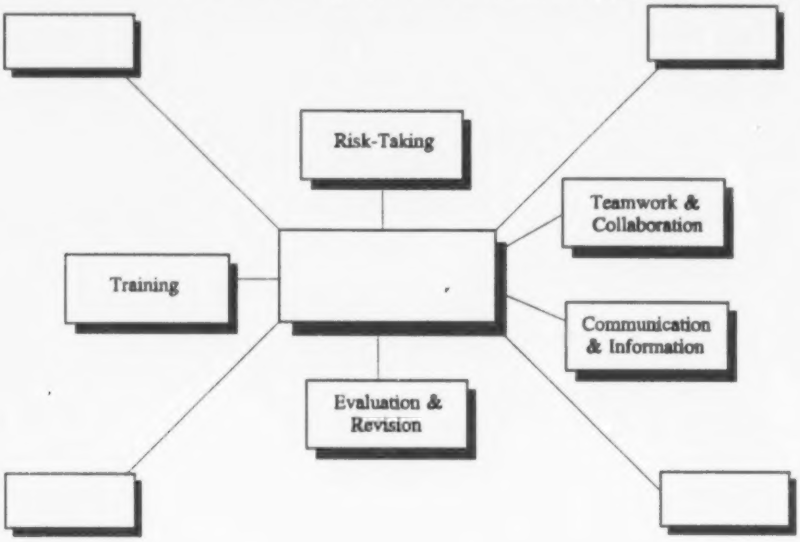

Figure 18. Level Two Change Characteristics

One major part of Rainbow's success could be attributed to its staff development training. The investigation showed that part of Rainbow's success could be attributed to the school's philosophy of staff development where school-wide training occurs first and then moves to an individual needs basis. Another major finding was the opportunity for teachers to take risks in their primary classrooms. From the beginning of primary implementation, teachers were allowed to try new teaching approaches and methods in a risk-free environment. The principal's belief was stressed by one teacher, "Just make sure the students know what they need to know, then you can teach anyway you want to as long as when students finish they can do what they need to be able to do!" (Interview 18).

Teamwork and collaboration were facilitated in a multitude of ways at Rainbow. Once again, the principal created an environment conducive for teamwork and collaboration by providing several opportunities for his staff to interact and collaborate in small and large group settings. Furthermore, these change characteristics were facilitated at both district and school level. Although there were no set team structures, Rainbow continually teamed and collaborated with other staff members.

Rainbow's staff communicated with the parents and community and informed teachers, parents, students, and instructional teaching assistants on issues related to the primary program from the beginning to the present stage of primary implementation. This communication and information process was employed on a regular basis through workshops, newsletters, conferences, and meetings. Communication not only occurred within the school but also occurred between the high school, middle school, and other elementary schools throughout the district. This communication process was helpful in alleviating parental concerns and issues on the primary program.

In addition, evaluation and revision were observed in the school. Evidence of evaluation and revision were revealed through various action plans: the Five Year Plan and the School Improvement Plan. Along with these action plans, the principal acquired feedback by sending home a school wide survey to the staff and parents pertaining to the primary program. This continual evaluation and revision process provided the staff with information so that modifications and changes could be made to make the primary program better.

Level Three: Change Characteristics

Finally, Figure 19 represents the third level change characteristics. Although these change characteristics were employed in the implementation process they played a minor role in the school's success. Again, distinguishing the levels of the importance of the change characteristics in implementation were determined from the interviews and documents reviewed. Several teachers indicated that additional support systems and planning time were needed during the planning and implementation of the primary program. In addition, the staff continually recognized and addressed barriers related to the primary program. Last, is the change characteristic vision which was important in this school's success; however, it was not the guiding influence in primary program implementation.

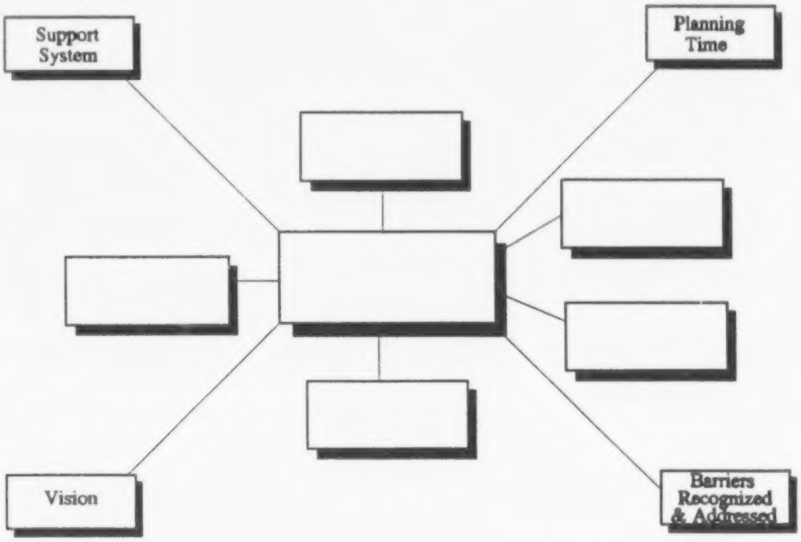

Figure 19. Level Three Change Characteristics

More specifically, the school's vision, mission, and motto provided a clear focus for the staff during primary implementation. Absence of a vision, mission, and motto could have resulted in the staff focusing on different areas. However, at Rainbow the entire staff had a focus and embraced and projected the vision, mission, and motto when teaching their primary students.

Support systems were always available to the staff and consisted of the principal, instructional resource teacher, teachers, and the district's administrative staff and other district teachers. Along with people, there were materials and resources given to the staff and parents to assist in implementing the primary program.

Additionally, the school's past and present history demonstrate that the staff is very dedicated and spends a great amount of time planning on their own before and after school. The staff receives no compensation for this additional planning time; however, several of the staff commented that their compensation comes through the success of the students (Interview 2, 13, & 14). In other words, the staff was intrinsically motivated and gave freely of their time during the implementation process.

Rainbow addressed and attempted to overcome barriers. Although, all barriers were not immediately solved, steps to solve the barriers were developed by the staff and principal. Again, the principal played the key role in recognizing barriers, by analyzing test scores, obtaining feedback from staff and parents, and reflecting on the progress of the primary program.

Overall, level three change characteristics played an integral part in primary implementation., From the analysis of the data, it can be concluded that all ten change characteristics acted together in bringing about the school's primary program success.

Summary of the School's Change Process

Rainbow Elementary is a school with a history of innovation and began change several years prior to the 1990 mandate. The school's staff personifies the integration of the ten change characteristics. However, the principal played the key role in creating a learning environment for change. The principal values and accepts the staff's individual teaching and learning styles. This positive, social-emotional environment provides the basis for the staff to take risks and seek improvement in instruction and services for primary students. Collaboratively, the staff analyzes and develops new teaching strategies and learning concepts.

During the planning and development phase, the staff focused on three underlying questions: (a) What are our past instructional program's successes and failures?; (b) What are our present instructional program's successes and failures?; and (c) What do we want our future instructional program to encompass? All three questions are directed by the premise of, "How can learning be better for students?"

Furthermore, the principal and staff expect success from both the students and themselves. The staff's vision, mission, and motto are representative of this expectation and embraces the staffs' teaching philosophies and principles. One teacher alluded to this idea when she stated, "Everyone works towards and for the children. It's one of the few schools that I've ever been in that will do that" (Interview 5).

The staff perceives change as a process, where time must be given for the program to develop and grow. Before implementation of the seven critical attributes of the primary program, Rainbow's staff studied information on each critical attribute. Thus decisions in the primary program were made based on the information and how it connected to the school's past and present instructional program.

Overall, Rainbow projects an image of continual change and renewal. Although, the staff is at different levels in the change process, the common bond of providing students with the best primary program possible exists. This change-oriented school is exemplified by one teacher, "Students need change every year, so you have to change with them" (Interview 14).

In summary, the school's present success could be attributed to the school's staff because they are willing to change, thus enabling early implementation of the primary program's philosophies and beliefs. This early implementation gave the staff a "trial and error" period to design and re-design the primary program.

Recommendations

Recommendations for Principal

Based on this case study, several ideas emerged to assist principals in future school-wide change. The following recommendations are based on the ten change characteristics:

1. Principals should develop readiness for change and recognize that change is a recursive process that takes time. The principal should foster a learning environment for the staff, parents, students, and community and provide the staff with the flexibility to build on individual teaching strengths and philosophies. At all times, the principals should be involved

in the classroom through direct interaction and instruction with students, parents, and teachers.

2. Principals should continually renew and develop through professional development and self-reflection. Further, the principals should provide the staff with multiple professional development opportunities based on their needs and needs of students. Principals should allow the staff to focus on specific areas and develop expertise in these areas.

3. Principals should empower the staff to take risks and make decisions based on students' needs in a safe and supportive environment.

4. Principals should model and encourage teamwork and collaboration among all staff members both at the school and district level.

5. Principals should communicate to all those involved in the change process along with providing information on events related to the new program. In addition, the principal should encourage the staff to communicate and provide information to each other, to parents, to students, and to the community.

6. Principals along with the staff should be willing to evaluate and revise the new program. This evaluation process should assist the staff in revising the primary program and occur throughout the change process.

7. Principals should provide adequate planning time for the staff to plan for the new program, to research, observe, and discuss with other teachers implementing similar programs, and to reflect on students' learning experiences. During the planning process, the staff needs to be inspired to make connections to the past, present, and future instructional program.

8. Principals should provide support systems and resources for those involved in the change process. Furthermore, the staff should be given time to address concerns, ask questions, and acquire feedback from a multitude of resource people.

9. Principals should guide the staff to create a vision for the new program. The staffs' vision should be clearly articulated, re-visited, and re-defined, as necessary, during the implementation process.

10. Principals should assist the staff in recognizing and addressing barriers and develop plans to overcome these barriers during the change process.

Recommendations for Further Research

In order to develop further understanding of the change process in primary schools, the following research is recommended:

1. Conduct a comparative analysis of two successful primary schools.
2. Focus on principals as leaders in successful primary schools. This type of study would provide researchers with more in-depth findings of effective leaders in the school building.
3. Select a successful primary schools based on results from past primary progress reports and conduct case studies in these primary schools.
4. Conduct comparative studies of primary programs based on fourth and fifth grade test scores.
5. Develop a survey involving the ten change characteristics and the degree to which these change characteristics were employed in the school during the implementation process. Survey could be completed by parents, district staff, school staff, and students.
6. Conduct a case study focusing on one of the ten change characteristics (leadership, risk-taking, training, evaluation and revision, communication and information, teamwork and collaboration, planning time, support systems, vision, and barriers).
7. Employ case studies involving schools with different change characteristics. e.g. demographic, philosophy, or geographic region

Implications

Implementing a new program is different for every school. These differences may be due to the fact that some of the school's staff are highly motivated to change; whereas, other school's staff may not be motivated to change. All ten change characteristics may not be relevant to every school implementing change. Whether the school employs these ten change characteristics or not could depend on staff members' perception of the new program and their willingness to begin implementation. More importantly, the level of change in each school relies on the type of leadership structures that guide the school to primary program implementation.

Final Statement

In order to implement the primary program successfully, it is important for change characteristics to be employed. Findings from this case study indicate that the school's staff must possess personal attributes to contribute to successful implementation. The staff must be: life-long learners, intrinsically motivated, have prior knowledge, and willing to change. Additionally, the staff must accept the new program's beliefs, principles, and concepts and understand their roles in the implementation process.

In this school, the goal was to successfully implement the primary program; however, the methods and procedures to achieve this goal were continually renewed and adapted. At times, this redirection was attributed to outside influences such as new professional development opportunities, new state guidelines, and lack of funds. Overall, the staff's ability to be flexible was a major contributor to the success of the primary program.

Overall, the researcher found the case study at Rainbow Elementary to be a positive experience both professionally and personally. From a professional standpoint, the researcher discovered that to implement a school-wide change, collaborative leadership is necessary, with the principal serving as the key to initiating change. The principal must continually reinforce the change process through support, assistance, encouragement, and feedback, along with recognizing that the staff will always be at different levels on the change continuum.

Personally, the investigation allowed the researcher to see that implementation of the primary program mandate is realistic and provides one appropriate method for educating young children. From observations within the school, the researcher found that children were enthusiastic and actively engaged in the learning process through meaningful experiences. Teachers encouraged students to build on their prior knowledge and experiences and helped students to make connections to their lives and the real world.

In conclusion, it is impressive that Kentuckians (legislature, community, and educators) have taken such giant steps in providing at least some of their children with a developmentally appropriate education. Kentucky educators, especially at Rainbow Elementary have overcome many challenges and obstacles during the implementation of the primary program. These challenges and obstacles have provided a learning experience for those involved in the implementation process. These learning experiences can serve as a framework for other schools in their efforts to implement new programs.

APPENDIX A

Phase One Principal Interview Questions

1. Describe the elementary school prior to the primary program mandate?

2. What is the school presently like in relation to the seven critical attributes of the primary program?

3. When did the school begin primary program implementation?

4. How many primary classrooms and primary students are there in this school?

5. Do you have a school-based decision making council? If so, what kind of influence has the Council had on the primary program?

6. Do you have a Family Resource and Youth Services Center? If so, what kind of influence has the Center had on the implementation of the primary program?

7. Is there anything else that makes your school unique that you would like to share?

APPENDIX B

Primary Program Observation Protocol

LEARNING ENVIRONMENT

CRITERION	COMMENTS

A. PHYSICAL ENVIRONMENT

1. Layout
   Note: Include a simple diagram of classroom
   - ☐ Flexibility - moveable tables/chairs
   - ☐ Attractive, inviting
2. Areas provided for various groups
   - ☐ Large Groups
   - ☐ Small Groups
   - ☐ Individual
   - ☐ Quiet
   - ☐ Active
   - ☐ Other
3. Learning Centers
   - ☐ Reading
   - ☐ Listening
   - ☐ Writing
   - ☐ Dramatic Play/ blocks/sand & water
   - ☐ Science
   - ☐ Theme
   - ☐ Other

LEARNING ENVIRONMENT (cont.)

CRITERION	COMMENTS
4. Print rich environment ☐ Variety of books - e.g. informational, fiction, reference, magazines ☐ Environmental print e.g. signs, directions, posters ☐ Other	
5. Student work is displayed ☐ Work is current ☐ Work shows variety (Not "cookie cutter" art) ☐ Functional use of reading & writing e.g. directions, messages, name on sign up sheets	
6. Variety of instructional materials ☐ Manipulatives ☐ Audio tapes/videos ☐ Models ☐ Computer ☐ CD ROM/Laser disc ☐ Other	

LEARNING ENVIRONMENT (cont.)

CRITERION	COMMENTS
B. SOCIAL/EMOTIONAL ENVIRONMENT	
1. Movement ☐ Students move at own discretion ☐ Student movement directed by teacher	
2. Active Engagement ☐ Minimum of teacher lecture ☐ Discussions ☐ Manipulatives ☐ Students on task ☐ Other	
3. Student Talk ☐ Student initiated ☐ Related to task ☐ Balance of teacher/student talk ☐ Opportunities for student/student talk	
4. Teacher Interaction *Balance of interactions* ☐ One to one ☐ Small group ☐ Large group	
5. Positive Discipline	

DEVELOPMENTALLY APPROPRIATE PRACTICES

CRITERION **COMMENTS**

IS THERE EVIDENCE OF:

A. INTEGRATED CURRICULUM

1. Scheduling
   - ☐ Large blocks of time
   - ☐ Flexible
   - ☐ Content areas integrated

2. Broad based thematic units & projects
   - ☐ Cross subject boundaries
   - ☐ Broad themes
   - ☐ Reflects Valued Outcomes

3. Authentic problems & questions
   - ☐ Problem solving activities
   - ☐ Open ended discussion questions
   - ☐ Activities related to children's interests/environment

DEVELOPMENTALLY APPROPRIATE PRACTICES (cont.)

CRITERION **COMMENTS**

B. INTEGRATED LANGUAGE ARTS

1. Meaning centered reading
   (List types of materials, e.g. basal anthology, trade books, etc.)
   - ☐ Integrated throughout curriculum
   - ☐ Skills taught in context
   - ☐ Comprehension emphasized
   - ☐ Opportunities to read
     - ☐ teacher reads aloud
     - ☐ students read to one another
     - ☐ students/teacher read silently
     - ☐ SSR/Independent reading time

2. Meaning Centered Writing
   - ☐ Integrated throughout curriculum
   - ☐ Meaning emphasized
   - ☐ Skills taught within context of student's writing
   - ☐ Opportunities to write *(List # of times where applicable)*
     - ☐ Writing portfolio/Journal writing
     - ☐ Students at all phases of writing process
     - ☐ Student choice of topic
     - ☐ Writing Conferences
     - ☐ Author's chair

DEVELOPMENTALLY APPROPRIATE PRACTICES (cont.)

CRITERION **COMMENTS**

C. INTEGRATION OF CONTENT AREAS

1. Problem Solving Mathematics *(List type of materials, e.g. BOXIT, OPENING EYES, MATH THEIR WAY, and math series)*
   - ☐ Integrated where appropriate
   - ☐ Direct instruction where appropriate
   - ☐ Manipulatives, concrete materials
   - ☐ Problem solving focus
   - ☐ Authentic tasks

2. Discovery Science
   - ☐ Integrated where appropriate
   - ☐ Direct instruction where appropriate
   - ☐ Experimentation/exploration
   - ☐ Authentic task

3. Activity-oriented Social Studies *(List specific programs where applicable, e.g. SKIS, ACES)*
   - ☐ Integrated where appropriate
   - ☐ Direct instruction where appropriate
   - ☐ Authentic tasks
   - ☐ Problem solving

4. Other Subject Areas

DEVELOPMENTALLY APPROPRIATE PRACTICES (cont.)

CRITERION	COMMENTS
D. ACTIVE CHILD INVOLVEMENT *(List specific activities)* ☐ Learning centers ☐ Experimentation/Exploration ☐ Manipulatives	
E. VARIED INSTRUCTIONAL STRATEGIES	
1. Balanced instructional delivery ☐ Direct instruction ☐ Cooperative learning ☐ Independent ☐ Learning styles/multiple intelligences	
2. Choice ☐ Teacher initiated ☐ Student initiated	
F. FLEXIBLE GROUPING ☐ Small groups 2-6 ☐ Large groups 7-up ☐ Whole class ☐ Individual ☐ Interest groups ☐ Skill	

ASSESSMENT

CRITERION **COMMENTS**

- ☐ Ability
- ☐ Mainstream special needs

IS THERE EVIDENCE OF:

A. ONGOING AUTHENTIC ASSESSMENT

1. Portfolios
   - ☐ Writing
   - ☐ Reading
   - ☐ Math
   - ☐ Other

2. Performance tasks
   - ☐ Projects
   - ☐ Samples of work

3. Observation
   - ☐ Check lists
   - ☐ Anecdotal records

4. Student self evaluation

ASSESSMENT (cont.)

CRITERION	COMMENTS
B. QUALITATIVE	
1. Anecdotal/narrative reports	
2. Video/audio tapes	
3. Journals	
4. Conferencing *(Note number of times where applicable)* ☐ Adult ☐ Parent ☐ Peer	
5. Progress reports ☐ Sample *(if possible)* ☐ Changes	
C. DOCUMENTS SOCIAL, EMOTIONAL, PHYSICAL, AESTHETIC AND COGNITIVE DEVELOPMENT	

EDUCATIONAL PARTNERSHIPS

NOTE: Use teacher interview to clarify areas that are not observable

CRITERION **COMMENTS**

A. PROFESSIONAL TEAMWORK

1. Types of teams
   - ☐ Teachers in self contained classroom
   - ☐ Teachers share students
   - ☐ Families *(Specify type)*

2. Team membership
   - ☐ Classroom teachers
   - ☐ Classroom and "special" teachers *(Specify "special" teacher)*

3. Regular planning time *(Specify # of days per week and length of time per day)*
   - ☐ Individual
   - ☐ With team
   - ☐ With "special" teachers

4. Regular communication
   - ☐ "Special" teachers
   - ☐ Intermediate teachers (4 & 5)
   - ☐ Preschool/Kindergarten teachers

EDUCATIONAL PARTNERSHIPS (cont.)

CRITERION	COMMENTS
B. PARENT INVOLVEMENT	
1. In classrooms ☐ Clerical ☐ Teaching aides ☐ Other	
2. In policy making ☐ SBDM ☐ Other	
3. In student evaluation ☐ Conferences ☐ Two way communication	
4. In supporting student learning at home	
5. Communication ☐ Newsletters ☐ Meetings ☐ Other	

APPENDIX C

Annotated Description of Each Document Reviewed

Documents 1 - 20

ANNOTATED DOCUMENTS

Document 1	**Instructional Resource Teacher's Portfolio #1.** 1991-92 School Year. The purpose of this document was to record important events and information that were conducted by the instructional resource teacher during the implementation of the primary program.
Document 2	**Instructional Resource Teacher's Portfolio #2.** 1992-93 School Year. The purpose of this document was to record important events and information that were conducted by the instructional resource teacher during the implementation of the primary program.
Document 3	**School Based Decision Making Council Meetings.** 1992-94. These meeting minutes contain all items discussed and approved by the Council during the SBDM meetings.
Document 4	**Primary School Institute Professional Development Manual.** 1990-91. This document contains professional development in relation to the seven critical attributes. The successful school's principal was part of the planning process for the manual.
Document 5	**Five Year Plan.** 1991-95. This document contains four goals that were presented with timelines and activities for the implementation of the primary program. The goals addressed the following: providing appropriate instructional strategies and materials, developing a partnership with University of Kentucky, increasing parent involvement, and integrating authentic assessment activities.
Document 6	**Needs Assessment Survey from the Primary School Institute.** 1990-91. This document describes the assessment of the school's needs, a narrative of the school's instructional program, a progress report in the areas of developmentally appropriate practices, professional teamwork, positive parent involvement, and strategies to implement for improvement in these three areas.

Document 7	**Primary Action Plan.** Submitted in the Spring of 1993. This document is a program evaluation for improvement planning that contains an action plan summary for primary program implementation.
Document 8	**District's Annual Performance Reports.** Based on the 1989 and 1990 school year, this document summarizes a variety of statistics in relation to the district's elementary schools, middle school, and high school. Examples of these statistics are dropout rates, attendance percentages, graduates going to college, special education enrollment, cost for professional development, test scores, and district per pupil expenditure.
Document 9	**Primary School Staff Development Project.** November 1990. This document describes the project as an initiative to assist in planning and developing staff development prior to the implementation of the mandated primary program. The purpose of this project was to assist schools in making a smooth transition to the primary program. There were a total of sixteen sites with three to six representatives from each of these school districts. The school under investigation participated in this project.
Document 10	**Supplements to the Primary Program Action Plan.** 1991. These two documents are supplements to the primary program advisory and provide procedural examples to the primary program action plan.
Document 11	**District's Progress Report.** 1993-94 School Year. This document is a district progress report for students in the primary program. The areas reported are communication, math, science and social studies, social and work habits, art, music, and physical education. The district's philosophy is listed on the front cover.

Document 12	**Open House Brochure.** August 19, 1993. This document is a brochure given to families that attended the school's open house. The brochure lists the school's vision, mission, motto, open house mini-sessions, assessment results, description of the school's PTO, awards, and information about the campus.
Document 13	**Brochure on School's Primary Program.** 1992. The purpose of this document is to provide the community, parents, visitors, and the staff with information related to the school's primary program. The document listed the following: district's philosophy on primary school, characteristics of the school's primary program, developmentally appropriate practices used in the primary program, organization, advantages of multi-age program, and how individual needs can be met in a multi-age classroom.
Document 14	**School Improvement Plan.** 1993-94. This document contains assessment results and specific areas that need improvement. Activities for improvement are listed along with evaluation procedures, persons responsible, and timelines. The last part of the document lists other areas for council decision making and resources that would be needed.
Document 15	**Report Card of School Survey.** 1994. This document is a survey that was given to the school's staff and families. The intent of the survey was to assist the staff in planning for the school's future by acquiring information from those who are part of the school. The survey was divided into to six areas: school's philosophy, our school: a place to learn, working and learning together, my child's learning, communicating progress/needs, and areas of need identified by our planning committee.

Document 16	**Feedback Form Survey.** 1993. The intent of this document was to assist the principal in improving his leadership skills and to help identify the needs of families and the school. The five areas on the survey are: leadership in our school, our school: a place to learn, learning at our school, assessing and communicating progress, and working and learning together.
Document 17	**Miscellaneous Resources from Instructional Resource Room.** Began in 1992. These documents are examples from the instructional resource room that are available to parents and staff. The resource room contains videos, pamphlets, brochures, and books which can be checked out. All resources relate to primary program implementation. The purpose of the room is to assist parents and staff in their understanding and implementation of the primary program.
Document 18	**Primary Advisory Committee Report.** 1991-92. This document contains reports of the primary advisory committee meetings. The reports lists a variety of activities that the committee was involved in for the 1991-92 school year. The focus of this year was primarily on staff development and developing a benchmark document.
Document 19	**Primary Advisory Committee Report.** 1992-93. This document contains reports of the primary advisory committee meetings. The reports lists a variety of activities that the committee was involved in for the 1992-93 school year. The focus of this year was primarily on staff development, assessment, development of Kentucky's Early Learning Profile by Advanced Systems, interim methods for verifying successful completion of the primary program, and revising the benchmark document.

Document 20	**Primary School Targets.** 1992. This document is the product of a project initiated by the Primary School Committee of the Central Kentucky Education Cooperative. Four instructional areas are addressed: language arts, mathematics, science, and social studies. This guide is intended to serve as a supplement to the KERA documents and to assist teachers by giving indicators of developmental change for outcomes based instruction (See Appendix C for an annotated description of each document reviewed).

APPENDIX D

Initial Organizational Step and Analysis of Physical Documents & Interview Transcriptions

Example: Document #2 - Instructional Resource Teacher's Portfolio

DOCUMENT #2

Instructional Resource Teacher's Portfolio #2 Continuation of 1991-92 School Year

Description of the resource teacher position - to help classroom teachers with new ways of teaching and new materials. The positions are intended to specifically focus on changes required by KERA.
Note - Principal's evaluation summary describes Resource Teacher's responsibilities

VISION

Worked with principal on writing the five year goals for the school.
Helped principal work on a timeline for the school's goals.
Helped develop technology goals.
Assisted teachers establish their goals for the next year.

TRAINING

Attended an all day Primary School Initiative Meeting.
Previewed material for Parent/Child Shared Book Workshop.
Attended meeting at U.K. on the valued outcomes.
Created a workshop for parents & children called "You Can Be An Author."
Attended an all day training called "Effective Schools Institute."
Organized training on K/1 activities and the new report card.
Attended Ginn of Canada on their whole language materials and how they work with multi-age groups.
Presented to teachers on choosing appropriate books for oral reading, shared reading, guided reading, and independent reading situations.
Attended a Primary School Benchmark Resource Team Meeting. Meeting agenda contained all curriculum areas.
E.G. of training sessions - Opening Eyes to Mathematics, Through the Minds Eye, Reading Recovery, Wright Group Workshop, Developmentally Appropriate Kindergarten , Box It, Bag It

SUPPORT SYSTEMS

Gave all primary teachers a book titled "Reading and Writing - Where It All Begins" to use as a resource for parents.
Talked with another school's resource teacher about developing activities around valued outcomes for primary grades.
I ran off materials for teachers to use in developing a family theme. We also had a meeting to brainstorm ideas of related concepts to the theme.
Ran off copy of Reggie Routman's article on journal writing for a teacher. (For her L.D. students who are not writing yet)
Attended support meeting to give suggestions to a primary teacher for a student who gets off task easily. Later helped her develop a program to allow this child success.

PLANNING

Met each month with instructional assistant superintendent and other county resource teachers.
Organized writing samples for benchmarks.
R.T. met at central office to finalize report cards.
Met all day at central office to develop a technology plan.
Looked over materials for writing manual.
Met with r.t. to develop a teacher newsletter for January (communication)
Read over America 2000 to generate ideas.

COMMUNICATE & COLLABORATION

Collaboration Brainstorming Report with curricular attributes and organizational activities. (See book)
Prepared packets for visitors and family meetings concerning the school.
Presented a technology update to the school council.
Meeting with all r.t. in the county.
Talked with middle school resource teacher on possibility of working together to develop a holistic scoring guide for the primary grades.
Talked with another resource teacher about her frustrations working with classroom teachers. (support systems)
Talked with instructional assistant superintendent about locating a poem, story or quote to use on the front of our report cards.
Wrote a part for December parent newsletter.
Met with visitors from Frankfort and conducted a question and answer session.
Newsletters
Newsletter to parent about school news and how to foster reading in the home.
These newsletters informed parents of all aspects of the primary program. e.g. meeting the valued outcomes, critical thinking,
Shared new report card with teachers and asked them if any of them wanted to pilot the new report cards.
Letter to parents about the report card changes.
Talked to instructional assistant superintendent about the need to observe an effective computer lab.
Created and gave all teachers a copy "Just for You" Newsletter.
Attended an all day "Communications Committee Meeting."
Met with reporter to discuss first family thematic performance for newspaper article.
Worked with parents and started putting together "The Road to Reform "

TEAMING

Meeting with teachers to assist them with different areas.
The principal, a primary teacher, and I met with superintendent to talk about material we want to cover when we tape our panel discussion. The panel discussion will be on the primary program.
Another r.t. and I worked on an organizational outline for the "Writing Manual"

Involved parents in the primary program by encouraging a working relationship, called "Books to Brag About." Parents assist their child in selecting a book and developing a project.
Participated in Little Caesars Pizza for completing after-school math projects similar to performance-abased tasks. (letter sent by the KY. Math Coalition)
Discussed with principal the needs of the multi-age classrooms.
Met with several teachers concerning grants they are writing.
Worked with another r.t. on a county wide grant called "Reading Recovery Grant" along with a reading program for the summer ESS classes.

BARRIERS

Called U.K. professor on a problem the teacher was having with writing assignments in the classroom.
Talked with U.K. professor about collaboration and parent involvement at Rainbow.
Met with U.K. professor regrading appropriate assessment procedures for social studies.

RISKS

Wants to write a proposal including a parent/teacher training resource center, a classroom library for every teacher, and a minimum of 4 computers in every class. (vision)

REVISION & EVALUATION

Talked with teachers about themes they would be doing for next year.
Ran off valued outcomes, activities, and task assessments for fourth grade.
Discussed benchmarks for language arts with all multi-age teachers.
Met with a few primary teachers to discuss what we need to do differently in the 1/2 next year.
Discussed with principal the primary action plan for the next two years.

LEADERSHIP

Scheduled training sessions.
Held question answer sessions with the visitors.
Involved in KDE's curriculum framework development.
Organized packets for principal for his meeting at KDE with resource schools.
Provided teachers with articles related to various issues being addressed in the school. e.g. using writing in the mathematics class
Substituted for teachers so that they could observe other classrooms.
Talked with the council about the new report and the professional development needs assessment.
Presented in other school districts concerning Rainbow's primary program.
Contacted Dr. Shake from U.K. about an inservice for remedial assistants.
Hosted a booth in Louisville for the Kentucky School Board Association Conference. (This is designed to showcase innovative and exemplary educational programs in

Kentucky schools titled, "Share Your Success")
Began and maintained the resource room for teachers on various materials related to the primary program. Shelves contain "Take What You Need" items that teachers can read and use in the classroom. e.g. rubrics, or reading strategies ideas.

ADDITIONAL CHANGE CHARACTERISTICS

Resources
Complied a list of suggested books for emergent, beginning, and independent reading levels. This information was to be included at an insert for the new report card.
Developed a list of early reading books available to teachers in the building.
Pulled together and organized materials on whole language, projects, and literature response groups.
Worked on writing more activities for the school's "Pattern Thematic Manual"
Researched and found materials on literature response groups, writing response·logs, and projects.

REWARDS

Had a breakfast for teachers and staff.

DEVELOPMENT OF NEW ITEMS RELATED TO THE P.P.

Developed a parent observation guide to be used when observing in the room. e.g. Which activities did your child choose?
Developed glossary to accompany the pilot report card.

NAME OF NEWSLETTERS READ BUT NOT INCLUDED IN DOCUMENTS

For Parents - "Especially For You"
For Teachers - "Just For You"

APPENDIX E

Second Organizational Step and Analysis of Change Characteristics

Example of Change Characteristic: Planning Time

PLANNING

DESCRIPTION OF DOCUMENT	RESEARCHER'S COMMENTS
• Met with other resource teachers and decided to produce a "Whole Language Manual" for teachers this year. • Worked with chapter math teacher on hands-on math strategies. • Gave a teacher a book about invented spelling to share with her instructional assistant.	Plans based on the needs of students and teachers.
• There is extensive evidence that books were purchased to support the different elements of the primary program e.g. assessment & whole language.	Books were used in the planning process for the primary program.
• Every month, each teacher received a packet which encouraged and provided info on the primary program (Maybe include this in the Appendices of my dissertation) • Continually wrote encouraging notes to teachers. (Doc. #1)	Packets gave t^s info and helped them acquire new knowledge to plan for their primary programs.
◆	
• Met each month with Asst. Instruct. Super. and other county resource teachers. • Organized writing samples for benchmarks. • R.T. met at central office to finalize report cards. • Met all day at central office to develop technology plan. • Looked over materials for writing manual. • Met with R.T. to develop a teacher newsletter for January (communication)	These meetings show how the district's asst. ins. super. along with all resource t^s were networking and supporting one another. This still occurs today!
• Read over America 2000 to generate ideas. (Doc. #2)	Rainbow always focused on state goals as well as national goals related to education.
◆	
1991-92: NONE 1992-93: Much of the councils role was to approve or disapprove the items that were developed by the individual committees. Much of the planning was closely tied to the goals and valued outcomes. 1993-94: Planned and approved instructional assistant intervention. (Doc. #3) ◆	Council and district supported new programs that were needed in the school.

DESCRIPTION OF DOCUMENT	RESEARCHER'S COMMENTS
• Provide additional planning time for the development of new materials. • Develop plan for the implementation of model of instructional site. • Provide release time for teacher exchanges to provide on-site staff development for teachers and U.K. student teachers. • Gather a great deal of parents' input. • Goal #4 - Provide continuing t/s/p training on authentic assessment and performance goal setting. (Doc. #5) ◆	This type of networking + planning gave the t^s insight and knowledge on current teaching practices and approaches. e.g. whole-language, assessment
During the 1988-89 school year, task forces composed of educators, parents, and community representatives undertook a strategic planning process which culminated in goals and objectives being identified in five major areas: • Curriculum • Student Services • Personnel • Support Services • Community Involvement (Doc. #8) ◆	Rainbow involved all those affected by implementation which assisted in providing info and developing an understanding of the primary program.
Everything is planned and analyzed in terms of what is best for the kids. (Doc. #11) ◆	The focus "Kids come first" was present in all planning of the primary program.
• Planned how they could teach with theme approach for all subjects. • Had a primary planning committee. Found that we were employing all the attributes of the P.P. except for multi-age grouping. • Had a lot of concepts about what m-a grouping was. Compiled a chart of the advantages and disadvantages of m-a grouping.	These t^s were always willing to reflect on the program so that they could make it better!! Always questioning too!

DESCRIPTION OF DOCUMENT	RESEARCHER'S COMMENTS
• All primary teachers came to the meetings. • The first year the KERA began, we gave teachers a half-day planning per month. (Doc. #12) ◆	This additional planning time may have helped in giving the ts a "head start" in primary implementation.
• The principal was involved in the initial planning of the critical attributes which allowed the school to take some real ownership in the P.P. • Had both a district P.P. committee and school wide P.P. committees. (Doc. #13) ◆	The principal's early involvement could have helped trigger the initial "Spark" to begin p.p. implementation.
This year, as an assistant, we were brought into the planning thing to learn how KERA was working. We discussed what we needed to accomplish our goals with the chapter children. (Doc. #15) ◆	Once again, planning was encouraged and conducted by all those affected by the change.
• The SBDM Council made many decisions pertaining to the P.P. The principal came with two plans for us to look at, and then the Council decided which one would work the best. • There was money set aside for the teachers to plan together one time in the Spring and one time in the Fall. (Doc. #19) ◆	The Council was very aware of the need for more planning time.
The Council made decisions not about staff development, but how we were going to implement the P.P. (Doc. #20) ◆	Staff focused on the "how to" and connected to needs of their students.

DESCRIPTION OF DOCUMENT	RESEARCHER'S COMMENTS
• We were given release time for planning and money to buy materials. • The grant from the state department provided money for the teachers to have extra planning time. This no longer is the case. (Doc. #24) ◆	This additional planning seems needed at the beginning of any change process.
Plan with two other teachers. (Doc. #27) ◆	
Some days we plan together and others we do not. Everyone is always very open and willing to share. (Doc. #29) ◆	There were no set team structures provided by the principal, however, t^s planned together based on their needs.
I was not here when they did the planning for the P.P. Now we get together to discuss thematic units, but that is it! (Doc. #30) ◆	Planning occurred without some t^s realizing it!.
• Planning for the P.P. occurred by us meeting in grade levels. This allowed to reach everyone at the same impact level. • Some of us have common planning time. (Doc. #31) ◆	Small groups gave t^s the chance to voice, ideas and suggestions in a risk-free environment.
I plan with my team teacher. (Doc. #32) ◆	This team planning structure was developed by the t^s.

DESCRIPTION OF DOCUMENT	RESEARCHER'S COMMENTS
• There is another section titled "Activities for Improvement" • There is a statement of what they want to do and then a section for evaluation, person responsible, and timeline. (Doc. #37)	When making plans the staff made sure that implementation would occur by developing timelines, person responsible, etc.
◆	
• Developed Benchmark Document • Planned for staff development training (Doc. #41)	Benchmarks were planned based on students' needs of reaching a standard.
	Overall, it seems planning was an integral part of the primary program.

APPENDIX F

Letter Sent to Educational Leaders

- To assure anonymity the names of leaders are not disclosed.

J. Paige Carney
285H Rosemont Garden
Lexington, KY 40503
(606) 278-8601

November 10, 1993

(name, address, etc.)

Dear (name):

Hello! I am Paige Carney, a doctoral candidate at the University of Kentucky in Educational Administration and Supervision. I am currently beginning work on my dissertation in the area of primary program implementation. I will be studying a primary school that has been especially successful in primary program implementation.

The specific research question to be addressed is, "What effective change characteristics were employed by the school's staff to implement the primary program?" As a researcher, I will develop an understanding of the question through a qualitative case study of a predetermined "successful primary school."

This primary school will be selected from school districts in the Central Kentucky Education Cooperative. The intent of the study is to provide other administrators with information and insight on how to effectively implement a new program with a school.

Qualification for a successful primary school will be based on the school that has made the most progress toward full implementation of the following seven critical attributes: developmentally appropriate practices, professional teamwork, positive parent involvement, qualitative reporting, continuous progress, authentic assessment, and multi-age/multi-ability groupings.

Due to your leadership and involvement with different schools implementing primary programs, I would greatly appreciate your assistance in the selection process. I pose the following question to you on the basis of the inclusion of all seven critical attributes of the primary program:

> "What three schools in the district served by the Central Kentucky Education Cooperative would you identify as begin successful at implementing the primary program?"

Enclosed are the following items: response form, self-addressed envelope, and a list of school districts in the Central Kentucky Education Cooperative. Your recommendation will be kept strictly confidential.

It would be appreciated if you could return the items by December 10, 1993. If you have any further questions concerning the research study, please feel free to contact me at work (606) 257-6731 or at home (606) 278-8601.

Thank you for your help in identifying these successful primary schools.

Sincerely,

J. Paige Carney

PLEASE RESPOND TO THE QUESTION AND RETURN BY DECEMBER 10, 1993.
THANK YOU FOR YOUR TIME!

Base on the inclusion of the seven critical attributes of the primary program, please respond to the following questions:

> **"What three schools in the district served by the Central Kentucky Education Cooperative would you identify as being successful at implementing the primary program?"**

1. ____________________

2. ____________________

3. ____________________

The following are school districts in the Central Kentucky Education Cooperative:

Anderson
Bardstown
Bourbon
Boyle
Burgin Independent
Clark
Danville Independent
Franklin
Frankfort Independent
Harrison
Harrodsburg Independent
Jessamine
Marion
Mercer
Montgomery
Nelson
Nicholas
Paris Independent
Scott
Washington
Woodford

APPENDIX G

List of Documents and Interview Transcriptions Reviewed

DOCUMENTS & INTERVIEWS REVIEWED

Document 1 -	Instructional Resource Teacher's Portfolio #1
Document 2 -	Instructional Resource Teacher's Portfolio #2
Document 3 -	School Based Decision Making Council Meetings
Document 4 -	Primary School Institute Professional Development Manual
Document 5 -	Five Year Plan
Document 6 -	Needs Assessment Survey from the Primary School Institute
Document 7 -	Primary Program Action Plan
Document 8 -	District's Annual Performance Reports
Document 9 -	Primary School Staff Development Project
Document 10 -	Primary Resource School Report
Document 11 -	District's Progress Report
Document 12 -	Open House Brochure
Document 13 -	Brochure on School's Primary Program
Document 14 -	School Improvement Plan
Document 15 -	School Report Card Survey
Document 16 -	Feedback Survey (From Parents and Teachers)
Document 17 -	Miscellaneous Resources from Resource Room
Document 18 -	Primary School Advisory Committee (CKEC) 1991-92
Document 19 -	Primary School Advisory Committee (CKEC) 1992-93
Document 20 -	Primary School Targets
Interview 1 -	Interview with Principal

Interview 2 - Interview with Resource Teacher

Interview 3 - Interview with Instructional Assistant Superintendent

Interview 4 - Interview with Instructional Teaching Assistant/Parent

Interview 5 - Interview with Instructional Teaching Assistant/Parent

Interview 6 - Interview with Parent

Interview 7 - Interview with Central Kentucky Education Cooperative Director

Interview 8 - Interview with Parent

Interview 9 - Interview with Librarian

Interview 10 - Interview with Guidance Counselor

Interview 11 - Interview with Assistant/Parent

Interview 12- Interview with Primary Teacher

Interview 13 - Interview with Primary Teacher

Interview 14 - Interview with Primary Teacher

Interview 15 - Interview with Primary Teacher

Interview 16 - Interview with Primary Teacher

Interview 17 - Interview with Primary Teacher

Interview 18 - Interview with Primary Teacher

Interview 19 - Interview with Primary Teacher

Interview 20 - Interview with Primary Teacher

Interview 21 - Interview with Primary Teacher

Interview 22 - Interview with Primary Teacher

Interview 23 - Interview with Primary Teacher

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VITA

Name: Judith Paige Carney

Date of Birth: December 4, 1961

Place of Birth: Charleston, WV

Collegiate Institutes Attended	Dates	Degree
University of South Carolina	1980-84	B.A.
Georgetown College	1987-89	M.S.
University of Kentucky	1991-94	Ed.D.

Major: Instruction and Administration

Professional Positions Held

Technical Assistant Consultant for the Galef Institute-Kentucky Collaborative for Elementary Learning, Louisville, Kentucky
1994-Present

Assistant Director for the Institute on Education Reform, University of Kentucky, Lexington, Kentucky
1993-94

Kindergarten Teacher in the Fayette County Public Schools
1984-92

Scholastic and Professional Honors

Member of Alpha Delta Kappa Education Service Sorority
Member of Phi Delta Kappa
Dean's List, 8 Semesters

Professional Publications

Bridge, C. & Carney, P. (1994). Kentucky's primary program: A progress report. UKERA Occasional Papers, Lexington, KY: Institute on Education Reform, University of Kentucky.

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Judith Paige Carney